

IC 0130/2012 - INTERNATIONAL CONSULTANT UNDP BRAZIL

“Brazil Mangroves TDR Mid Term Evaluation 2012”

**BRA 07/G32 – Brazilian Mangroves
Effective Conservation and Sustainable Use of Mangrove Ecosystems in Brazil**

Please find enclosed "Terms of Reference and Evaluation Criteria for a Selection Process for hiring an International Consultant for the Mid Term Evaluation of Project BRA/07/G32.

The Procurement Unit of UNDP Brazil would appreciate receiving proposals for the above mentioned selection. The submission of technical (CV) and financial proposals, in separate files, should reach the e-mail ic.procurement.br@undp.org no later than **12 June 2012**.

IC Selection Team
Procurement Unit
UNDP Brazil
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If you request any additional information it will be provided by e-mail ic.procurement.br@undp.org

PLEASE REFER TO IC 0130/2012 - INTERNATIONAL CONSULTANT BRAZIL MANGROVES TDR
MID TERM EVALUATION 2012.

Effective Conservation and Sustainable Use of Mangrove Ecosystems in Brazil (PIMS 3280)
Atlas Project No.00055992

Terms of Reference

Mid-Term Evaluation

May 2012

Country(ies):	Brazil
ATLAS Award ID:	00055992
PIMS Number:	3280
GEF Focal Area:	Biodiversity
GEF Strategic Objective:	SO1- SP2
GEF Budget (USD):	5,000,000
Co-Financing Budget (USD):	15,345,692
Project Document Signature date:	July 31, 2008
Date of first disbursement:	October 29, 2009
Original Planned Closing Date:	August 2013
Executing Agency:	ICMBio/MMA/IBAMA
Date of Project Closure	August 2013



INTRODUCTION

UNDP/GEF Monitoring and Evaluation (M&E) 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;
- iv) 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 applicable policies for UNDP/GEF projects, all GEF-funded projects implemented by UNDP are subjective to a mid-term and a final independent evaluation. According to the Project Document of the project Effective Conservation and Sustainable Use of Mangrove Ecosystems in Brazil PIMS 3280 mid-term evaluation is foreseen.

The current Terms of Reference of the Mid-Term Evaluation of the Brazilian Mangroves Project outline what is expected from the Evaluation Team/Evaluator and briefly reflect key aspects of the project and its background. For any description on methodology, procedures and content of the evaluation report reference is made to the UNDP Evaluation Guidance for GEF Financed Projects (Annex 1).

Brief project description

Mangrove ecosystems are among the most productive on earth, supporting globally significant biodiversity and providing resources and environmental services that underpin economic activities and ensure the environmental integrity of coastal areas. Moreover, their role in increasing the resilience of coastal ecosystems, communities and economic activities to climate change is increasingly recognized. Despite their importance, Brazil's mangroves are vulnerable to a number of anthropogenic threats. The result is the loss of mangrove habitats and the provision of resources on which many communities and sectors depend. The project addresses this problem by tailoring existing protected area management tools in the National System of Conservation Units (SNUC) to address the specific characteristics of mangrove ecosystems and increase capacities for their implementation, thus establishing minimum standards and improved approaches to mangrove conservation and sustainable use across the country. In doing so it would provide the operational consolidation of a sub-set of mangroves PA based on field tested innovative management approaches in both sustainable use and strict conservation categories thus advancing the maturation of the SNUC. The result would be direct conservation benefits to 568,000 ha of globally significant mangroves, positive impacts on the livelihoods of some of the poorest segments of Brazilian society and a framework through which lessons learnt could be replicated to all Brazilian mangrove ecosystems and others globally.

The long term goal of this project is the conservation and sustainable use of Brazil's mangrove ecosystems and the environmental services and functions important for national development and the well-being of traditional coastal communities. The Project objective is to contribute to this goal by providing a field tested protected area management strategy that is adopted for the effective conservation of a representative sample of mangrove ecosystems in Brazil. This will be achieved through four Outcomes: (i) The enabling environment for a sub-system of mangrove ecosystem PA is in place,



including policy, regulatory, and financial mechanisms. This will also provide an enabling environment for the implementation, sustainability and replication of the Project strategy (ii) Replicable models are in place for the management of mangrove resources in SNUC sustainable-use protected areas. This will focus on environmental and pro-poor issues through working with communities to improve the sustainability of their livelihoods; (iii) Conservation of mangroves is improved by piloting the alignment of UC management with sectoral and spatial planning through a landscape-based approach. This will tackle barriers to the PA approach from a sectoral perspective; and (iv) Mangrove-related outreach, dissemination and adaptive management will be increased. This will focus on M&E and information generation for adaptive management of mangrove PAs and their resources. The Project is executed by Chico Mendes Institute for the Conservation of Biodiversity – ICMBIO, in cooperation with Brazilian Institute of the Environment and Renewable Natural Resources (IBAMA), Brazil’s Ministry of the Environment (MMA), Ministry of Fisheries and Aquaculture (MPA), with UNDP acting as the GEF implementing agency.

OBJECTIVES OF THE EVALUATION

The Mid-Term Evaluation (MTE) will be conducted according to guidance, rules and procedures for such evaluations established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects (Annex 1). A key principle of the evaluation is that it must provide clearly documented evidence and analysis, and unbiased assessment.

With the objective to strengthen the project adaptive management and monitoring, mid-term evaluations are intended to identify potential project design problems, assess progress towards the achievement of objectives and make recommendations regarding specific actions that might be taken to improve the project. As such the MTE provides the opportunity to assess early signs of project success or failure and prompt necessary adjustments. Another objective of the MTE is to ensure accountability for the achievement the GEF objective. Through the identification and documentation of lessons learned (including lessons that might improve design and implementation of other UNDP/GEF projects) an MTE also enhances organizational and development learning.

The main stakeholders of this MTE are Chico Mendes Institute for the Conservation of Biodiversity – ICMBIO, Ministry of the Environment (MMA), Brazilian Institute of the Environment and Renewable Natural Resources (IBAMA), National Centre of Traditional Populations (CNPT), National Water Agency (ANA), Ministry of Agricultural Development (MDA), Secretary of Family Agriculture (SAF), Brazilian Agricultural Research Corporation (EMBRAPA), Federal University of Maranhão (UFMA), Brazilian Service on Support of Micro and Small Enterprises (SEBRAE), Traditional populations (artisanal fishermen, crab collectors, marisqueiras, family farmers), Secretariat for Science and Technology and the Environment (SECTAM, Para State), Secretariat for the Environment and Natural Resources (SEMA/GEMA, Maranhão State), Secretariat for the Environment and Natural Resources (SEMAR; Piauí State), Secretariat for the Environment (SEMACE, Ceará State), Special Secretariat for the Environment, Water and Mineral Resources (SECTMA/SUDEMA, Paraíba State), Secretariat of the Environment (SMA, São Paulo State), State Secretariat of the Environment – (SEMA/IAP, Paraná State), local governs and local communities inside or near Protected Areas.

SCOPE OF THE EVALUATION

The evaluation will cover the five major criteria which are relevance, effectiveness, efficiency, results and sustainability. These five evaluation criteria should be further defined through a series of questions covering all aspects of the project intervention, broken out in three main sections:

1. Project Formulation: Logical framework, Assumptions and Risks, Budget (co-finance) and Timing



2. Project Implementation: IA/EA supervision and support, monitoring (including use of tracking tools) and evaluation, stakeholder participation, adaptive management.
3. Achievement of Results: Outcomes, Impacts, Catalytic effect, Sustainability, Mainstreaming (e.g. links to other UNDP priorities, including related support programmes set out in the UNDAF and CPAP, as well as cross cutting issues).

The UNDP Evaluation Guidance for GEF Financed Projects (Annex 1) details which of the project components need to be rated as well as a definition of the six point rating scale (from Highly Satisfactory to Highly Unsatisfactory).

PRODUCTS EXPECTED FROM THE EVALUATION

The evaluation team is expected to deliver three products as described in the Guidance (Annex 1).

- i) An Inception Report
- ii) Oral presentation of main findings of the evaluation to UNDP CO and Project Team before the mission is concluded in order to allow for clarification and validation of evaluation findings.
- iii) Evaluation report which is to be in line with the Report Outline described in the Guidance.

METHODOLOGY OR EVALUATION APPROACH

The EF methodology is to follow the Guidance (Annex 1) and the Evaluation Team is to present a fine-tuned proposal in the Inception Report which is to be discussed with the UNDP-Brazil country Office and the projects Coordination Unit.

A list of documents to be reviewed by the Evaluation Team is attached in Annex 2.

EVALUATION TEAM AND PROFESSIONAL ABILITIES REQUIRED

The mid-term evaluation will be undertaken by the External Evaluator and must be performed in close cooperation y with the Coordination Team of Brazilian Mangroves Project, which will assist and support with documents and all information needed for the evaluation process.

Eligibility Criteria and Technical Competencies for the External Evaluator

Education: University degree in Environmental Sciences, Administration or related fields.

Experience (mandatory):

- At least 5 years experience in fields related to the assignment at national and/or international levels;
- At least 3 years experience in monitoring/evaluation of project of international technical cooperation;
- Demonstrated experience in multi-disciplinary and inter-institutional projects;
- Proficiency in Portuguese and English is required (oral and written);
- Post-graduate studies in related topics;
- Good knowledge of main office computer applications.

Desired:

- Familiarity with sustainable development and environmental issues in mangroves areas;



- Familiarity with the goals and procedures of international organizations, in particular those of the GEF, and the national (IBAMA, MMA, MPA, ICMBio), and regional organizations related to project activities;
- Excellent oral and written presentation skills with capacity to communicate effectively with different stakeholders and different target groups;
- Experience with communication, information systems, and institutional procedures;
- Knowledge on the Brazilian environmental system;
- Ability to formulate questions, set priorities and implement plans consistent with project interests.

The consultant in charge of the MTE will be held to the ethical standards referred to in the Guidance (Annex 3) and are expected to sign the Code of Conduct (Annex 3) upon acceptance of the assignment.

IMPLEMENTATION ARRANGEMENTS

Management Arrangements

The MTE is a requirement of UNDP and GEF and solicited and led by the *UNDP-Brazil* as GEF implementing agency. The *UNDP-Brazil* has overall responsibility for the coordination and logistical arrangements of the evaluation as well as day-to-day support to the evaluation team (travel, accommodation, office space, communications, etc) and timely provision of per diems and contractual payments. The *UNDP-Brazil* will also organize the site missions (travel arrangements, meetings with key stakeholders and beneficiaries, interviews, field trips). The evaluation team will be briefed by the UNDP Country Office and the Regional Coordination Unit (RCU) upon the commencement of the assignment, and will also provide a terminal briefing. Other briefing sessions may be scheduled, if deemed necessary.

Payment modalities and specifications: The evaluators will be contracted directly from the project budget. Payment will be 50% at the submission of the first draft to the UNDP-CO, UNDP-GEF RCU and PT, and the other 50% once the final report has been completed and cleared by both the UNDP-CO and UNDP-GEF RCU. The quality of the evaluator's work will be assessed by the UNDP-CO and UNDP-GEF RCU. If the quality does not meet standard UNDP expectations or UNDP-GEF requirements, the evaluators will be required to re-do or revise (as appropriate) the work before being paid final installments.

These Terms of Reference follow the UNDP-GEF policies and procedures, and will be agreed upon by the UNDP-GEF RCU, UNDP Country Office and the Project Team. The final report must be cleared and accepted by UNDP before being made public, therefore, the UNDP-CO and UNDP-GEF-RCU will have to formally clear the report (as per the Approval Form in Annex 4).

Timeframe, resources, logistical support and deadlines

The total duration of the evaluation will be 30 days according to the following plan:

Preparation before field work: (2-4 days including travel time)

- Acquaintance with the project document and other relevant materials with information about the project (PRODOC, Inception Workshop Report, Quarterly Progress Reports, PIRs, Baseline Tracking Tools, Steering Committee's reports and minutes, Annual Operational Plans (AOPs/POAs), any additional M&E report, Terms of Reference of ongoing studies, etc);
- Familiarization with overall development situation of country (based on reading of UNDP - Common Country Assessment and other reports on the country);



- Inception Report preparation, including methodology, in cooperation with the UNDP Country Office and the Project team;
- Initial telephone discussion with UNDP-GEF-Regional Technical Advisor.

Mission to pilot areas: (12 -15 days)

- Meeting with UNDP Country office team;
- Meetings with key stakeholders in country;
- Collection and review of all available materials with focused attention to project outcomes and outputs in general and per pilot area;
- Visit to Project sites: Salgado Paraense (Pará state), Reentrâncias Maranhenses (Maranhão), Delta do Parnaíba (Maranhão/Ceará/Piauí states), Foz do Rio Mamanguape (Paraíba state), São Paulo/Paraná states.
 - Observation and review of completed and ongoing field activities (capacity development, awareness /education, sustainable use demonstration activities, community development, etc);
 - Interviews with key beneficiaries and stakeholders, including representatives of local authorities, local environmental protection authorities, local community stakeholders, etc.

Obs.:Protected areas by project sites:

- Salgado Paraense:
 - RESEX Arai Peroba, RESEX Caeté Taperapu, RESEX Gurupi-piriá, RESEX Mãe Grande do Curuçá, RESEX Maracanã, RESEX São João da Ponta, RESEX Soure, RESEXTracuateua.
- Reentrâncias Maranhenses:
 - APA Reentrancia Maranhense, RESEX Cururupu.
- Delta do Parnaíba:
 - APA Delta do Parnaíba, RESEX do Delta do Parnaíba.
- Rio Mamanguape:
 - APA Barra do Rio Mamanguape, ARIE Foz do Rio Mamanguape.
- São Paulo/Paraná:
 - EE de Juréia-Itatins, APA Cananéia-Iguape-Peruíbe, APAE de Guaraqueçaba, EE de Guaraqueçaba, PARNA Superagui, PARES Ilha do Cardoso, APAE de Guaratuba, FLOES do Palmito, EE de Guaraguaçu, PARES do Boguaçu.

Draft report (6-8 days): To be provided within two weeks of mission completion

- Final interviews / cross checking with UNDP CO, UNDP RCU and Project team.
- Drafting of report in proposed format
- Telephone review of major findings with UNDP CO and UNDP-GEF RTA
- Completing of the draft report and presentation of draft report for comments and suggestions within 1 month.

Final Report (2 days)

- Presentation of final evaluation report for the Project coordination Team and special guests will held in Brasília.



8. ANNEXES

Annex 1: UNDP Guidance on Evaluation of GEF Financed Projects (Version for external evaluators)

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

Annex 3: Evaluation Consultant Code of Conduct Agreement Form

Annex 4: Evaluation Report Clearance Form to be completed by CO and RCU and included in the final document

Annex 5: Selection/ Evaluation Criteria



Annex 1: UNDP Guidance on Evaluation of GEF Financed Projects (Version for external evaluators)

Separated file : UNDP EVALUATION GUIDANCE FOR GEF-FINANCED PROJECTS VERSION FOR EXTERNAL EVALUATORS.



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

- PRODOC
- Inception Workshop Report
- Quarterly Progress Reports
- PIRs – Plan Implementation Report
- Baseline Tracking Tools
- Steering Committee’s reports and minutes
- Annual Operational Plans (AOPs/POAs)
- local consultant’s report
- Mangroves festival survey
- Terms of Reference of ongoing studies:
 - regulation and legislation,
 - national plan of threatened species,
 - monitoring of threatened species,
 - management plan of the APA/ARIE Mamanguape,
 - fishery ecosystem management,
 - business plan for communitarian tourism,
 - business plan for crab (caranguejo-ucá),
 - management plan for krab (caranguejo-ucá),
 - economic sustainability of protected areas with mangroves ecosystem,
 - water resource plan,



Annex 3: Evaluation Consultant Code of Conduct Agreement Form

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.

Evaluation Consultant Agreement Form

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

Name of Consultant: _____

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 (place)on _____

Signature: _____



Annex 4: Evaluation Report Clearance Form to be completed by CO and RCU and included in the final document

Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP- GEF- RCU

Name: _____

Signature: _____ Date: _____



Annex 5. Selection/ Evaluation Criteria

The proposal submitted will be disregarded in breach of the provisions of this Notice: file 1 containing the CV and File 2 containing the Proposed Price.

The final criteria for this procurement process will be TECHNICAL CAPACITY AND PRICE for the final evaluation and selection.

1. CLASSIFICATION OF THE TECHNICAL PROPOSALS (CV AND INTERVIEW)

The maximum score in the Technical Qualification is 100 (one hundred) points.

Qualification criteria are divided into 02 (two) steps:

- a) **Step 1 (qualification / no scoring):** analysis of the CV relating to compliance with the mandatory requirements specified in the Terms of Reference.

Candidates who do not meet the minimum mandatory criteria described in Item 6 of the Term of Reference will be disqualified at this stage.

- b) **Step 2 (classification / scoring):** CV analysis and Interview.

The criteria for CV analysis are contained in the table below. Only will be analyzed the resumes of candidates accepted under Step 1 of the Qualification.

Criteria for Scoring - 2 nd Step of the Technical Qualification			
Criteria	Score*	Weight	Maximum Score
Postgraduate education level. Authors or co-authored book, book chapter and /or scientific articles on topic related to the object of the present consultancy	1 to 5	6	30 points
Experience and/or technical knowledge on evaluation or project management of international technical cooperation	1 to 5	6	30 points
Experience in the preparation and elaboration of international reports for long term environmental projects	1 to 5	6	30 points
Experience in multi-disciplinary and inter-institutional projects	1 to 5	2	10 points
Maximum score of the 2 nd Step of the Technical Qualification			100 points

* the score will be determined according to the following concept:

- ⤴ 5 points - excellent
- ⤴ 4 points – very good
- ⤴ 3 points - good
- ⤴ 2 points - satisfactory
- ⤴ 1 points - poor



On the evaluation:

The Evaluation Committee will be composed of at least three members who assign individual evaluation scores. The final score of the consultant under evaluation will be the weighted average of individual scores of the evaluators.

Individual scores will be awarded in accordance with the information submitted in the candidate's Curriculum Vitae and their performance in the interview. Therefore, it is important that candidates clearly indicate in their CV the professional experience required in both the qualification and classification phases, so that the evaluation committee may conduct a proper analysis.

The interview will serve as inputs for the application of the score provided in the table above and will be the moment at which the evaluation committee will collect general information and ask about the availability of the consultant for the task.

The interview will be conducted by telephone, Skype or other remote communication device available. Applicants will be notified with a minimum of 24 hours, via e-mail or telephone, the date and time for the interview. The interviews will have at most one hour.

2. CLASSIFICATION OF BUSINESS PROPOSALS (PRICE) – FINAL

Only the business proposals (price) of the candidates who receive the final Technical Score with a minimum of 70 points in Step 2 (Review and Interview Course) will be taken into consideration.

The final Score – FS of the process will be given by the sum of the final Technical Score – TS multiplied by a factor of 0.70, with the PS Score of the price proposal multiplied by the factor 0.30, i.e:

$$FS = TS \times 0.70 + PS \times 0.30$$

The score of the Price Proposal – PS will be calculated according to the following:

$$PS = 100 \times LPP / Ppe$$

where:

PS = score of the price proposal

LPP = lowest price proposal

Ppe = price proposal under evaluation

The lowest price proposal will score one hundred (100).

It will be selected the proposal that achieves the higher final Score.

3. SPECIAL CONSIDERATIONS

This procurement will be conducted by UNDP, following the rules and guidelines of the organism (simplified selection and procurement through IC).

In accordance with the rules of the United Nations is prohibited the hiring, in any capacity, of civil servants of the Public administration, at Federal, state, District or Municipal level, direct or indirect, as well as employees of its subsidiaries or controlled entities.

UNDP EVALUATION GUIDANCE

FOR GEF-FINANCED PROJECTS

VERSION FOR EXTERNAL EVALUATORS

(FINAL DRAFT, MARCH 17TH 2011)

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INTRODUCTION

This document provides draft guidance on evaluations of UNDP projects financed through the Global Environmental Facility (GEF). The guidance is designed to detail the suggested methodology and content of evaluation of UNDP projects financed by GEF.

The guidance is designed to enhance compliance with both UNDP and GEF policies and procedural requirements. GEF and UNDP guidance are by and large consistent and mutually reinforcing, and use common standards.¹ Two aspects of GEF guidance extend beyond current UNDP evaluation guidance: a) all GEF-financed projects must receive a final (terminal) evaluation; and b) terminal evaluations of GEF projects include, at a minimum, ratings on a project's relevance, effectiveness, efficiency, and monitoring and evaluation implementation, plus the likelihood that results (outputs and outcomes) can be sustained.

1.1 UNDP EVALUATION POLICIES AND HANDBOOK

The UNDP Evaluation Policy states that: "Project *evaluations* assess the efficiency and effectiveness of a project in achieving its intended results. They also assess the relevance and sustainability of outputs as contributions to medium-term and longer-term outcomes. Projects can be evaluated during the time of implementation, at the end of implementation (terminal evaluation), or after a period of time after the project has ended (ex-post evaluation). Project evaluation can be invaluable for managing for results, and serves to reinforce the accountability of project managers, Country Offices (CO), etc. Additionally, project evaluation provides a basis for the evaluation of outcomes and programmes, as well as for strategic and programmatic evaluations and Assessment of Development Results (ADRs), and for distilling lessons from experience for learning and sharing knowledge. In UNDP, project evaluations are mandatory when required by a partnership protocol, such as with the Global Environment Facility."

The UNDP Programme and Operations Policies and Procedures (POPP) sets the overall procedural requirements for programme and project management, including for the UNDP/GEF unit. As noted in the POPP: "Project evaluation assesses the performance of a project in achieving its intended results. It yields useful information on project implementation arrangements and the achievement of outputs. It is at this level that direct cause and attribution can be addressed given the close causal linkage between the intervention and its effect or output. Project evaluation provides a basis for the evaluation of outcomes and programmes." The POPP goes on to note that project evaluations are mandatory only when they are required by a partnership protocol. Such a protocol has been established with GEF.

In 2009, UNDP developed a revised Handbook on Planning, Monitoring and Evaluating for Development Results. The Handbook provides UNDP programming units with practical guidance and tools to strengthen results-oriented

¹ UNDP and GEF are members of the United Nations Evaluation Group (UNEG) and have developed evaluation requirements in conformance with UNEG norms and standards, see <http://www.uneval.org>.

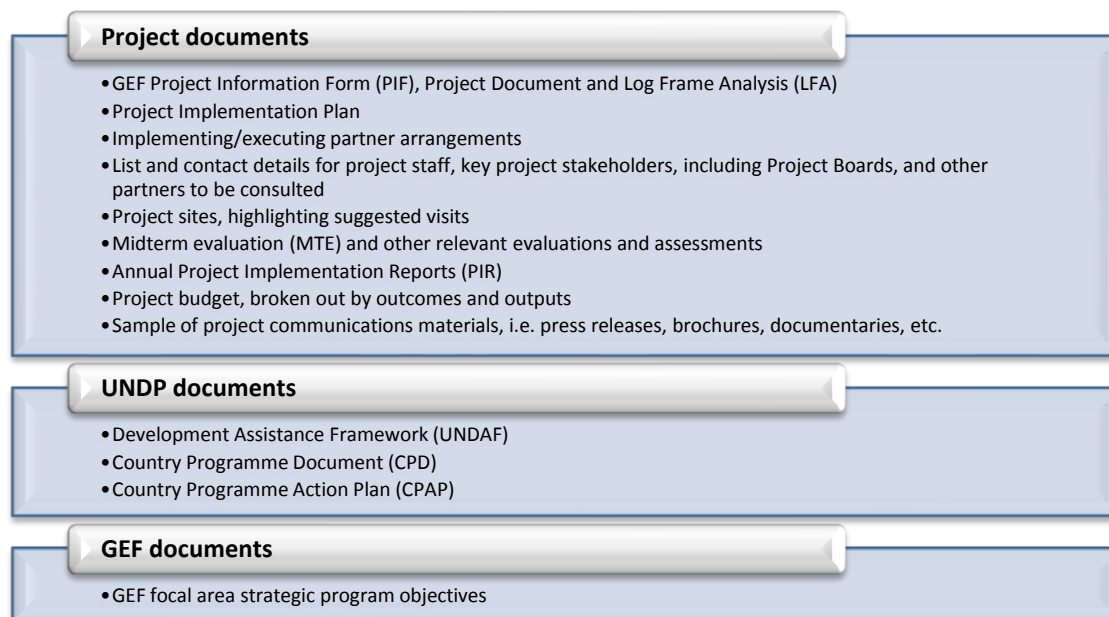
planning, monitoring and evaluation in UNDP. The Handbook serves as the basis for this UNDP/GEF guide, and the companion templates have been modeled after the templates included in the Handbook.

1.2 EVALUATION PREPARATION PHASE

In November, 2010, the GEF Council approved a revised Policy of Monitoring and Evaluation. The revised [M&E Policy](#) states that through monitoring and evaluation the GEF aims to “promote accountability for achievement of GEF objectives through the assessment of results, effectiveness, processes, and performance of the partners involved in GEF activities.” It further states that “GEF results will be monitored and evaluated for their contribution to global environmental benefits.” The policy enunciates that the GEF partners, in addition to conducting various other evaluations, also evaluate projects “at the end of the intervention (terminal evaluation).”²

PROJECT BACKGROUND PACKAGE

Before the evaluation mission, and in order to facilitate the evaluator’s documentation review, the project team should compile a 'project information package' that brings together the most important project documents for use by the evaluation team. The project information package should be copied and sent to the evaluation team on a CD or flash drive, or a dedicated web portal can also be established so the evaluation team has easy access to the key documents. Included with the package should be a brief explanatory note identifying the package contents and highlighting especially important documents. It is important to have this information package sent to the evaluation team right away after contract completion, so the evaluators have a chance to review the most important documents prior to the evaluation mission. At a minimum the package should include:



² See paragraph 13, pg 4, of ‘The GEF Monitoring and Evaluation Policy’ (February, 2006); available at: www.thegef.org

The project information package should include financial data from Atlas (and there may be a project 'shadow budget' that provides useful information). Information on co-financing should also be provided. Please note that obtaining up-to-date co-financing information will require contacting each of the co-financing parties, including the government, to get a full and up-to-date accounting of co-financing for the evaluation. The evaluation team is required to compare the planned and realized co-financing amounts. The co-financing table included in the annex will be filled in and included for the evaluation report. The CO or the evaluation team must send this table to each of the co-financers and have them fill in their information.

EVALUATION INCEPTION REPORT

An inception report should be prepared by the evaluation team prior to the main evaluation mission. It should detail the evaluators' understanding of the project being evaluated and why, showing how each evaluation question will be answered by way of: proposed methods, proposed sources of data and data collection procedures. The inception report should include a proposed schedule of tasks, activities and deliverables, designating a team member with the lead responsibility for each task or product. The inception report provides the programme unit and the evaluators with an opportunity to verify that they share the same understanding about the evaluation and clarify any misunderstanding at the outset. In addition to getting CO approval, the Inception Report should be shared with the GEF operational focal point for comment, and with a request for assistance on interviews and site visits.

1.3 EVALUATION IMPLEMENTATION PHASE

FIELD VISITS

Field visits are expected to the project site or a select sampling if there are multiple sites. The project team is expected to assist the evaluators with the logistics for site visits. The decision on which sites to visit should be done jointly with the CO and project team. Data analysis should be conducted in a systematic manner to ensure that all the findings, conclusions and recommendations are substantiated by evidence. Appropriate tools should be used to ensure proper analysis (e.g. including a data analysis matrix that records, for each evaluation question/criteria, information and data collected from different sources and with different methodology).

By the end of the evaluation mission, the team should have a draft set of initial findings established. It is useful to have a wrap up discussion with the country office and project team to present initial findings and request additional information as needed, prior to departing. The evaluation team will then complete and submit to the CO a first draft evaluation report. A template for the evaluation report is provided in [Annex 2](#).

DRAFT AND FINAL EVALUATION REPORTS

The evaluation team will be expected to deliver a draft and final evaluation report, which includes the evaluation scope and method, findings, conclusions and recommendations. The report should define the evaluation criteria and performance standards used and the rationale for selecting them. The general criterion applied for evaluations of UNDP projects financed by the GEF is relevance, efficiency, effectiveness and sustainability. As noted in the GEF

Guidelines for Terminal Evaluations: "The evaluation of relevancy, effectiveness and efficiency will be as objective as possible and will include sufficient and convincing empirical evidence. Ideally the project monitoring system should deliver quantifiable information that can lead to a robust assessment of project's effectiveness and efficiency."³

³ GEF Evaluation Office Guidelines for implementing and executing agencies to conduct terminal evaluations; May 9, 2007, pg 5

2. EVALUATION CONTENT

In this section of the guide are set out explanations and further details for the content sections of the evaluation inception and final reports.

2.1 INTRODUCTION EVALUATION PURPOSE

Evaluations for GEF financed projects have the following complementary **purposes**:

- To promote accountability and transparency, and to assess and disclose the extent of project accomplishments.
- To synthesize lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities.
- To provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues.
- To contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit.
- To gauge the extent of project convergence with other priorities within the UNDP country programme, including poverty alleviation, and reducing disaster risk and vulnerability, as well as cross-cutting imperatives on empowering women⁴ and supporting human rights⁵.

The **scope** of terminal evaluations for MSPs and enabling activities includes some important stipulations established by the GEF EO⁶:

"All medium-size projects and those enabling activities that are not approved under the expedited procedure will be evaluated to report on achievement of results and lessons learned. The limited absolute amount available for evaluation might entail lower credibility and reduced cost effectiveness of such evaluations. Therefore, medium-size projects and enabling activities not approved under the expedited procedure will be subject to specific guidance to ensure that these evaluations will be lighter but nonetheless credible and cost-effective. This guidance will be developed by the GEF Evaluation Office. Evaluations of medium-size projects and enabling activities not approved under the expedited procedure will be sent to the GEF Evaluation Office when ready or at latest within 12 months of project completion."

⁴ see: <http://www.undp.org/women/docs/Gender-Equality-Strategy-2008-2011.doc>

⁵ see [Human rights-based approach to development programming](#), UNDG

⁶ Revision of the GEF M&E Policy, 2010, pg. 31

UNDP evaluations cover at a minimum the following five major criteria:

1. Relevance
<ul style="list-style-type: none">•The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time.•Note: Retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.
2. Effectiveness
<ul style="list-style-type: none">•The extent to which an objective has been achieved or how likely it is to be achieved.
3. Efficiency
<ul style="list-style-type: none">•The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.
4. Results
<ul style="list-style-type: none">•The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention.•In GEF terms, results include direct project outputs, short to medium-term outcomes, and longer term impact including global environmental benefits, replication effects and other local effects.
5. Sustainability
<ul style="list-style-type: none">•The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion.•Projects need to be environmentally, as well as financially and socially sustainable.

These five evaluation **criteria** should be further defined through a series of questions covering all aspects of the project intervention, broken out in three main sections: **a) project formulation; b) project implementation; and c) project results.** Evaluation questions should be agreed upon among users and other stakeholders and accepted or refined in consultation with the evaluation team.

The following aspects are relevant to a discussion of the evaluation purpose. There will be differences in purpose between a midterm and terminal evaluation as noted earlier. Also, note that the purpose includes assessing project relevance within the UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) for the country (ies) involved.

METHODOLOGY OF THE EVALUATION

An overall **approach and method**⁷ for conducting UNDP/GEF project terminal evaluations has developed over time, and involves using the following tools:

- documentation reviews
 - stakeholder interviews
 - field visits
 - questionnaires
-

⁷ For additional information on methods, see the Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 163

- focus groups and other participatory techniques for information gathering

The aim is to utilize the best mix of tools that will yield the most reliable and valid answers to the evaluation questions within the limits of resources and availability of data.

The methodology should be agreed with the key participants (RCU, CO, evaluation team and GEF Operational Focal Point) and further detailed in the Inception Report developed by the evaluation team.

The evaluation report should then describe the selected methodological approaches, methods and analysis; the rationale for their selection; and how, within the constraints of time and money, the approaches and methods employed yielded data that helped answer the evaluation questions and achieved the evaluation purposes. The description should help the report users judge the merits of the methods used in the evaluation and the credibility of the findings, conclusions and recommendations.

DATA COLLECTION AND ANALYSIS

- This includes the sources of information (documents reviewed and stakeholders), the rationale for their selection and how the information obtained addressed the evaluation questions. Lists of documents reviewed and persons interviewed should be annexed to the evaluation report.
- The evaluation inception report should indicate the intended methods or procedures to be used when collecting data, including discussion of data collection instruments (e.g., interview protocols and questionnaires), their appropriateness for the data source and evidence of their reliability and validity. The inception report should then describe the procedures that will be utilized to analyze the data collected and to answer the evaluation questions.
- The evaluation report should then restate the methods and procedures that were used and highlight any challenges and limitations in using these methods and procedures.

EVALUATION MATRIX

An evaluation matrix should be established for the evaluation, which organizes the evaluation questions with how evaluators expect to collect the data. [Annex 5](#) of this guide provides a sample set of criteria developed for a recent UNDP/GEF biodiversity project evaluation. The point of the exercise is to detail the key questions that need to be answered in order to determine project results, and to identify where the information is expected to come from, (i.e. documents, questionnaires, interviews, and site visits).

2.3 FINDINGS

Findings should be presented as statements of fact based on analysis of the data. They should be structured around the evaluation criteria so that report users can readily make the connection between what was asked and what was found. Variances between planned and actual results should be explained, as well as factors affecting the achievement of intended results.

With respect to the **findings** discussion, it is suggested that the Evaluation Report ToR elaborate three general areas: **project formulation, project implementation, and project results.**

PROJECT FORMULATION

The GEF guidelines include a useful set of questions to assess project formulation. These are:

- Were the project's objectives and components clear, practicable and feasible within its time frame?
- Were the capacities of the executing institution(s) and its counterparts properly considered when the project was designed?
- Were lessons from other relevant projects properly incorporated in the project design?
- Were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval?
- Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?
- Were the project assumptions and risks well articulated in the PIF and project document?

An additional important point to raise in terms of project formulation is to consider whether the planned outcomes were "Smart":

S	Specific: Outcomes must use change language, describing a specific future condition
M	Measurable: Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not
A	Achievable: Results must be within the capacity of the partners to achieve
R	Relevant: Results must make a contribution to selected priorities of the national development framework
T	Time- bound: Results are never open-ended. There should be an expected date of accomplishment

ASSUMPTIONS AND RISKS

The evaluation should provide an assessment of the project assumptions and risks as set out in the project document and Log Frame, including:

- An assessment of the stated assumptions and risks, whether they are logical and robust, and have helped to determine activities and planned outputs.
- Externalities (i.e. effects of climate change, global economic crisis, etc.) which are relevant to the findings.

PROJECT IMPLEMENTATION

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.

FINANCE / CO-FINANCE

The evaluation report should clarify the financial particulars of the project, including extent of co-financing across the portfolio. Project cost and funding data should be presented, including annual expenditures. Variances

between planned and actual expenditures should be assessed and explained. Observations from financial audits as available should be considered. 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 financing⁸.
- 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 in the management of funds and financial audits. The TE should include a table that shows planned and actual co-financing commitments, as set out in [Annex 3](#). Evaluators during their fact finding efforts should request assistance from the Project Team to fill in the table, and the Evaluator should then follow up through interviews to substantiate. The evaluator should briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

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)

The evaluator should determine:

- Whether there was sufficient clarity in the reported co-financing to substantiate in-kind and cash co-financing from all listed sources.
- The reasons for differences in the level of expected and actual co-financing.
- The extent to which project components supported by external funders was well integrated into the overall project.
- The effect on project outcomes and/or sustainability from the extent of materialization of co-financing.
- Whether there is evidence of additional, leveraged resources that have been committed as a result of the project. Leveraged resources can be financial or in-kind and may be from other donors, NGOs, foundations, governments, communities or the private sector.

IA & EA EXECUTION

The evaluator should assess and **rate** the quality of Implementing Agency execution. The assessment should be established through consideration of the following issues:

⁸ 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.

- Whether there was an appropriate focus on results by the implementing and executing agencies
- The adequacy of IA & EA supervision
- The quality of risk management
- Responsiveness of the managing parties to significant implementation problems (if any)
- Quality and timeliness of technical support to the project team
- Candor and realism in supervision reporting
- Suitability of chosen executing agency for project execution
- Any salient issues regarding project duration, for instance to note project delays, and how they may have affected project outcomes and sustainability

PROJECT M&E

An assessment and rating of the project monitoring and evaluation (M&E) plan design and implementation is required. As noted in the GEF TE Guidance, projects should have a sound M&E plan to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART⁹ indicators and data analysis systems, and evaluation studies at specific times to assess results and adequate funding for M&E activities.¹⁰

Some projects may include project outputs involving assistance to countries on long-term monitoring, including setting baselines, developing indicators and building capacity for data gathering and analysis. The ToR should indicate that achievements against these outputs should be addressed in a separate section of the evaluation report.

The evaluation team should be expected to deliver an **M&E assessment** that provides:

1. An analysis of the M&E plan at project start up, considering whether baseline conditions, methodology and roles and responsibilities are well articulated. Is the M&E plan well conceived? Is it articulated sufficient to monitor results and track progress toward achieving objectives?
2. The quality of M&E plan implementation: Was the M&E plan sufficiently budgeted and funded during project preparation and implementation?
3. The effectiveness of monitoring indicators from the project document for measuring progress and performance;
4. Compliance with the progress and financial reporting requirements/ schedule, including quality and timeliness of reports;
5. The value and effectiveness of the monitoring and evaluation reports and evidence that these were discussed with stakeholders and project staff;
6. The extent to which follow-up actions, and/or adaptive management, were taken in response to monitoring reports (PIRs) ;
7. Check to see whether PIR self-evaluation ratings were consistent with the MTE and TE findings. If not, were these discrepancies identified by the project steering committee and addressed?

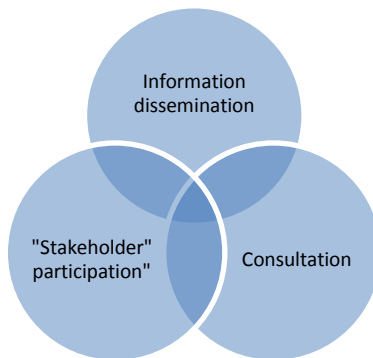
⁹ SMART: Specific, Measurable, Achievable, Realistic and Timely.

¹⁰ GEF TE Guidance, pg 8

8. Terminal Evaluations for full size projects should also include consideration of the M&E analysis carried out for the mid-term evaluation and whether changes were made to project implementation as a result of the MTE recommendations.

STAKEHOLDER INVOLVEMENT

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. Stakeholder participation consists of three related and often overlapping processes: information dissemination, consultation, and “stakeholder” participation.



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.

The evaluation should include findings on the role and involvement of key project stakeholders. Two aspects can be considered:

1. A review of the quality and thoroughness of the stakeholder plan presented in the PIF and project document which should be reviewed for its logic and completeness.
2. The level of stakeholder participation during project implementation.

Questions regarding stakeholder participation include:

- Did the project involve the relevant stakeholders through information sharing and consultation and by seeking their participation in project design, implementation, and M&E? For example, did the project implement appropriate outreach and public awareness campaigns?
- Did the project consult with and make use of the skills, experience, and knowledge of the appropriate government entities, nongovernmental organizations, community groups, private sector entities, local governments, and academic institutions in the design, implementation, and evaluation of project activities?
- Were the perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process taken into account while taking decisions? Were the relevant vulnerable groups and powerful supporters and opponents of the processes properly involved?

ADAPTIVE MANAGEMENT

The evaluation team should take note whether there were changes in the environmental and development objectives of the project during implementation, why these changes were made and what was the approval process. This project evolution discussion is often discussed using the term 'adaptive management'. The GEF guidance indicates the following possible reasons for changes:

- a) original objectives were not sufficiently articulated;
- b) exogenous conditions changed, due to which a change in objectives was needed;
- c) project was restructured because original objectives were overambitious;
- d) project was restructured because of a lack of progress;
- e) other (specify).

In addition to determining the reasons for change, the evaluator should also determine how the changes were instigated and how these changes then affected project results. A few key questions to consider:

- Did the project undergo significant changes as a result of recommendations from the mid-term evaluation? Or as a result of other review procedures? Explain the process and implications.
- If the changes were extensive, did they materially change the expected project outcomes?
- Were the project changes articulated in writing and then considered and approved by the project steering committee?

PROJECT RESULTS

A 'result' is defined as a describable or measurable development change resulting from a cause-and-effect relationship. In GEF terms, results include direct project outputs, short- to medium-term outcomes, and longer term impact including global environmental benefits, replication effects, and other local effects.

Assessing project results involves attention to the full scope of a results based management (RBM) chain, from inputs to activities, to outputs, outcomes and impacts. Basic definitions for each link in the RBM chain, are as follows:

Inputs

- Financial, human and material resources used for the project

Activities

- Actions taken through which the project inputs are mobilized to produce specific outputs

Outputs

- Products and services that result from the project

Outcomes

- The likely or achieved short- and medium-term effects of an intervention's outputs. Examples of outcomes could include, but are not restricted to, stronger institutional capacities, higher public awareness (when leading to changes of behavior), and transformed policy frameworks or markets.

Impacts

- Actual or anticipated, positive or negative changes in global environmental benefit, as verified by environmental stress and/or status change, and also taking into account sustainable development impacts, including changed livelihoods.

For GEF projects, the main focus of attention for evaluations is at the outcome level, recognizing that global environmental benefit impacts are often difficult to discern, and gauging outputs is straightforward but not sufficient to capture project effectiveness. Most GEF financed projects are expected to achieve anticipated **outcomes** by project closing. For GEF 4 projects it is required, and for GEF 3 projects it is encouraged, that the evaluators assess the project results using indicators and relevant tracking tools."¹¹ Project outcomes should be assessed against the ProDoc/LFA plans, using focal area-specific indicators.

In addition to assessing project outcomes, the evaluation should include consideration of results as measured by broader aspects such as: **country ownership, mainstreaming, sustainability, catalytic role and impact**. These aspects are discussed below.

COUNTRY OWNERSHIP

An important result for UNDP projects financed by the GEF is that they are seen to address country priorities. For most UNDP projects, this is made manifest by the extent of national government involvement. It will be important for the evaluators to find evidence that the project fits within stated sector development priorities, and also that outputs, such as new environmental laws, or new strategies for sustainable livelihoods around protected areas, have been developed with involvement from government officials and have been adopted into national strategies, policies and legal codes. If the level of country ownership is low, consequent weaknesses in capacity building,

¹¹ GEF TE Guidance, pg. 5

project sustainability and positive environmental impact can be expected. There are no rating expectations for country ownership.

Some elements of effective country ownership 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.
- Project collaboration with industry associations

Some questions to consider in evaluating country ownership:

- Was the project concept in line with development priorities and plans of the country (or countries)?
- Were the relevant country representatives from government and civil society involved in project implementation, including as part of the project steering committee?
- Was an intergovernmental committee given responsibility to liaise with the project team, recognizing that more than one ministry should be involved?
- Has the government(s), enacted legislation, and/or developed policies and regulations in line with the project's objectives?

MAINSTREAMING

UNDP projects financed by the GEF are key components in UNDP country programming. As such, the objectives and outcomes of the project should conform to UNDP country programme strategies as well as to GEF-required outcomes focused primarily towards global environmental benefit. Project terminal evaluations must therefore assess how GEF financed projects are successfully mainstreaming other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender balance. This means an additional effort will be needed to review the UNDAF in the country, to review also the UNDP Country Programme Action Plan (CPAP) and the evaluation plan that is part of the CPAP.

The section on mainstreaming should assess:

1. Whether it is possible to identify and define positive or negative effects of the project on local populations (e.g. income generation/job creation, improved natural resource management arrangements with local groups, improvement in policy frameworks for resource allocation and distribution, regeneration of natural resources for long term sustainability).
2. If the project objectives conform to agreed priorities in the UNDP country programme document (CPD) and country programme action plan (CPAP).
3. Whether there is evidence that the project outcomes have contributed to better preparations to cope with natural disasters.

4. Whether gender issues had been taken into account in project design and implementation, (i.e. project team composition, gender-related aspects of pollution impacts, stakeholder outreach to women's groups, etc). If so, indicate how.¹²

Mainstreaming has not been previously emphasized in terminal evaluations of GEF financed projects. It is added here in recognition of the many points of convergence between UNDP's environmental projects and other aspects of UNDP's country assistance programme. No ratings are required; however a detailed discussion on mainstreaming is expected in each terminal evaluation.

SUSTAINABILITY

When assessing the sustainability of GEF financed projects at their conclusion, UNDP conforms to the general guidance set out in the GEF M&E policy and GEF Guidelines, which stipulates that all terminal evaluations should at a minimum assess "the likelihood of sustainability of outcomes at project termination, and provide a rating for this".¹³

Sustainability in this context is generally considered to be the likelihood of continued benefits after the GEF project ends. Consequently the assessment of sustainability considers the risks that are likely to affect the continuation of project outcomes. The GEF Guidelines establish four areas for considering risks to sustainability. Each should be separately evaluated and then rated on the likelihood and extent that risks will impede sustainability.

1. **Financial risks:** Are there financial risks that may jeopardize the sustainability of project outcomes? What is the likelihood of financial and economic resources not being available once GEF assistance ends? (This might include funding through government - in the form of direct subsidies, or tax incentives, it may involve support from other donors, and also the private sector. The analysis could also point to macroeconomic factors.)
2. **Socio-economic risks:** Are there social or political risks that may threaten the sustainability of project outcomes? What is the risk for instance that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?
3. **Institutional framework and governance risks:** Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits? Are requisite systems for accountability and transparency, and required technical know-how, in place?
4. **Environmental risks:** Are there ongoing activities that may pose an environmental threat to the sustainability of project outcomes? For example, biodiversity-related gains or water quality-related gains at risk due to frequent severe storms?

¹² Both UNDP and GEF are focusing greater attention to ensure that gender issues are taken into account in project formulation and implementation, (see UNDP Gender Equality Strategy 2008-2011).

¹³ Guidelines for GEF Agencies in Conducting Terminal Evaluations, 3.3 para. 19, pg.9-10

Project sustainability should receive ratings as follows:

- **Likely (L):** negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future.
- **Moderately Likely (ML) :** moderate risks, but expectations that at least some outcomes will be sustained
- **Moderately Unlikely (MU):** substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on.
- **Unlikely (U):** severe risk that project outcomes as well as key outputs will not be sustained.
- **Highly Unlikely (HU):** expectation that **few** if any outputs or activities will continue after project closure.
- Not Applicable (N/A)
- Unable to Assess (U/A)

All the risk dimensions of sustainability are critical. Therefore, the overall rating for sustainability should not be higher than the lowest rated dimension. For example, if a project has an “unlikely” rating in any dimension, its overall rating cannot be higher than 'unlikely'.

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.

CATALYTIC ROLE

In addition to sustainability, it is expected that all evaluations of GEF funded projects include an assessment of catalytic or replication effect. No ratings are expected, however the reviewer should consider the extent to which the project has demonstrated: a) production of a public good, b) demonstration, c) replication, and d) scaling up.

Scaling up	<ul style="list-style-type: none"> • Approaches developed through the project are taken up on a regional / national scale, becoming widely accepted, and perhaps legally required
Replication	<ul style="list-style-type: none"> • Activities, demonstrations, and/or techniques are repeated within or outside the project, nationally or internationally
Demonstration	<ul style="list-style-type: none"> • Steps have been taken to catalyze the public good, for instance through the development of demonstration sites, successful information dissemination and training
Production of a public good	<ul style="list-style-type: none"> • The lowest level of catalytic result, including for instance development of new technologies and approaches. • No significant actions were taken to build on this achievement, so the catalytic effect is left to 'market forces'

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.

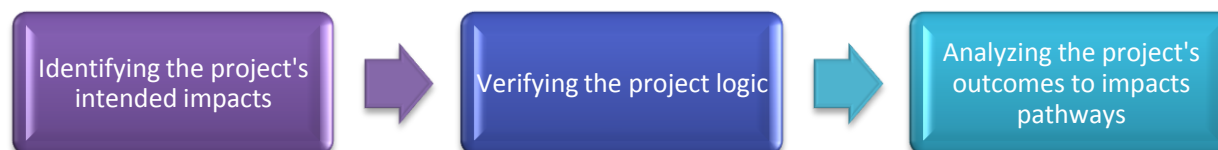
IMPACT

As the UNDP portfolio matures, it is increasingly relevant to discuss the extent to which projects are achieving impacts or are progressing towards the achievement of impacts. The key findings that should be brought out in the evaluations include whether the project has demonstrated:

- verifiable improvements in ecological status
- verifiable reductions in stress on ecological systems
- through specified process indicators, that progress is being made towards achievement of stress reduction and/or ecological improvement. For example, if as a result of the project, there have been regulatory and policy changes at regional, national and/or local levels

This analysis requires the availability of verifiable data on pollution reduction and ecological status improvement, and/or the existence of process indicators that suggest such impacts should occur in the future as a result of project achievements. If the project is a foundation setting effort, (i.e. enabling activity or IW TDA project) it is not anticipated that stress reduction and/or status change impacts will be achieved in the short to medium term.

As part of the GEF 4th Overall Performance Review (2009) the GEF EO developed and published a Handbook on the Review of Outcomes to Impacts (RoTI).¹⁴ The Handbook sets out a methodology for gauging the likelihood of impacts at project closure. The methodology uses a Theory of Change approach to evaluate the overall performance of GEF projects. The methodology features three main stages:



The RoTI methodology is not required for evaluations of UNDP projects financed by the GEF; however for some projects it may be useful, especially for demonstration and investment projects where substantial stress and/or status change impacts are anticipated.

3.4 CONCLUSIONS, RECOMMENDATIONS & LESSONS

Conclusions should be comprehensive and balanced, and highlight the strengths, weaknesses and outcomes of the project. They should be well substantiated by the evidence and logically connected to the evaluation findings. They should 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 GEF.

The evaluation report should provide practical, feasible **recommendations** directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.

The evaluation report should include, if available, **lessons** that can be taken from the evaluation, including best (and worst) practices that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions.

3.5 RATINGS

While UNDP evaluation policy does not require ratings as part of its performance standards, the GEF stipulates that ratings should be used to assess **project relevance, effectiveness and efficiency, as well as the quality of M&E systems**. UNDP has agreed to rate all UNDP terminal evaluations of GEF financed projects for these criteria, based on the following six point scale:

- **Highly Satisfactory (HS)**: no shortcomings
- **Satisfactory (S)**: minor
- **Moderately Satisfactory (MS)**: moderate
- **Moderately Unsatisfactory (MU)**: significant

¹⁴ [OPS4-M2-ROTI Handbook | Global Environment Facility](#)

- **Unsatisfactory (U):** major
- **Highly Unsatisfactory (HU):** severe
- **Not applicable (N/A)**
- **Unable to assess (U/A)**

A useful table to include in the evaluation report is set out below.

Table 3. Rating Project Performance		
Monitoring and Evaluation		Comments
Overall quality of M&E	(rate)	
<i>M&E design at project start up</i>	(rate)	
<i>M&E Plan Implementation</i>	(rate)	
IA & EA Execution		
Overall Quality of Project Implementation/Execution	(rate)	
<i>Implementing Agency Execution</i>	(rate)	
<i>Executing Agency Execution</i>	(rate)	
Outcomes		
Overall Quality of Project Outcomes	(rate)	
<i>Relevance</i>	(rate)	
<i>Effectiveness</i>	(rate)	
<i>Efficiency</i>	(rate)	
Catalytic Role		
<i>Production of a public good</i>	yes/no	
<i>Demonstration</i>	yes/no	
<i>Replication</i>	yes/no	
<i>Scaling up</i>	yes/no	
Sustainability		
Overall likelihood of risks to Sustainability:	(rate)	
<i>Financial resources</i>	(rate)	
<i>Socio-economic</i>	(rate)	
<i>Institutional framework and governance</i>	(rate)	
<i>Environmental</i>	(rate)	
Overall Project Results	(rate)	

ANNEXES

Annex 1: Acronyms and Glossary of Terms

Annex 2: Evaluation Report Guidance

Annex 3: Co-financing Table

Annex 4: GEF Operating Principles

Annex 5: Evaluation Criteria Matrix

Annex 6: Evaluation consultant Code of Conduct Agreement Form

Annex 7: Management Response Template

ANNEX 1: ACRONYMS AND GLOSSARY OF TERMS

ACRONYMS

APR	Annual Project Report
CEO	GEF Chief Executive Officer
CPAP	UNDP Country Programme Action Plan
CPD	UNDP country programme document
CO	UNDP country office
EA	Executing Agency
ERC	Evaluation Resource Centre
ET	Evaluation team
GEF	Global Environment Facility
GEF EO	GEF Evaluation Office
FSP	Full size project
IA	Implementing Agency
LFA	logframe analysis
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
MSP	Medium size project
MTE	Mid Term Evaluation
NGO	Non-Governmental Organization
OFP	GEF Operational Focal Point
PDF-A	Preparatory Development Assistance Block A
PIF	Project Identification Form
PIMS	UNDP GEF Project Information Management System
PIR	Project Implementation Report
POPP	UNDP Programme and Operations Policies and Procedures
ProDoc	project document
PSC	Project Steering Committee
PT	project team
PTA	Principal Technical Advisor
RCU	UNDP/GEF Regional Coordinating Unit
ROAR	Results Oriented Annual Report
TE	Terminal Evaluation
TER	Terminal Evaluation Review
ToR	Terms of Reference
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
UNDP EO	UNDP Evaluation Office
UNEP	United Nations Environment Programme
UNOPS	United Nations Office for Project Services

GLOSSARY

This glossary of terms is drawn from UNDP, GEF and UNEG source materials, as well as from the OECD-DAC¹⁵

Term	Definition
Conclusions	Point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments.
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. Refer to Council documents on co-financing for definitions, such as GEF/C.20/6.
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.
Country Ownership	Relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements where applicable.
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. Note: Also used as an aggregate measure of (or judgment about) the merit or worth of an activity, i.e. the extent to which an intervention has attained, or is expected to attain, its major relevant objectives efficiently in a sustainable fashion and with a positive institutional development impact. Related term: efficacy.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
Evaluation	Project <i>evaluations</i> assess the efficiency and effectiveness of a project in achieving its intended results. They also assess the relevance and sustainability of outputs as contributions to medium-term and longer-term outcomes. Projects can be evaluated during the time of implementation, at the end of implementation (terminal evaluation), or after a period of time after the project has ended (ex-post evaluation). Project evaluation can be invaluable for managing for results, and serves to reinforce the accountability of project managers, COs, PTAs, etc. Additionally, project evaluation provides a basis for the evaluation of outcomes and programmes, as well as for strategic and programmatic evaluations and ADRs, and for distilling lessons from experience for learning and sharing knowledge. In UNDP, project evaluations are mandatory when required by a partnership protocol, such as with the Global Environment Facility
Financial Planning	Includes actual project cost by activity, financial management (including disbursement issues), and co-financing.
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.

¹⁵ Development Cooperation Directorate, Development Assistance Committee, at the Organisation for Economic Co-operation and Development. See the DAC Network on Development Evaluation, [Glossary of key terms in evaluation and results based management](#);

Joint Evaluation	An evaluation to which different donor agencies and/or partners participate.
Lessons Learned	Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.
Leveraged Resources	Additional resources, beyond those committed to the project itself at the time of approval, which 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.
Monitoring	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.
Quality Assurance	Quality assurance encompasses any activity that is concerned with assessing and improving the merit or the worth of a development intervention or its compliance with given standards. Note: examples of quality assurance activities include appraisal, results based management, reviews during implementation, evaluations, etc. Quality assurance may also refer to the assessment of the quality of a portfolio and its development effectiveness. For the purposes of this Guide, it especially refers to the assessment of the quality of terminal evaluations carried out for UNDP/GEF projects.
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.
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.
Risk Analysis	An analysis or an assessment of factors (called assumptions in the logframe) affect or are likely to affect the successful achievement of an intervention's objectives. A detailed examination of the potential unwanted and negative consequences to human life, health, property, or the environment posed by development interventions; a systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for identified risks.
Results	The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention. In GEF terms, results include direct project outputs, short-to medium-term outcomes, and longer term impact including global environmental benefits, replication effects, and other local effects.
Stakeholder Participation	Stakeholders are agencies, organizations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation.
Sustainability	Measures the extent to which benefits are likely to continue, within or outside the project domain, from a particular project or program after GEF assistance/external assistance has come to an end. Projects need to be environmentally as well as financially and socially sustainable
Terms of Reference	Written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements. Two other expressions sometimes used with the same meaning are "scope of work" and "evaluation mandate".
Triangulation	The use of three or more theories, sources or types of information, or types of analysis to verify and substantiate an assessment. Note: by combining multiple data sources, methods, analyses or theories, evaluators seek to overcome the bias that comes from single informants, single methods, single observer or single theory studies.

ANNEX 2. SAMPLE EVALUATION REPORT OUTLINE

i. **Title and opening page**

Provide the following information:

- Name of the UNDP/GEF project
- UNDP and GEF project ID#s.
- Evaluation time frame and date of evaluation report
- Region and countries included in the project
- GEF Operational Program/Strategic Program
- Executing Agency and project partners
- Evaluation team members
- Acknowledgements

ii. **Executive Summary**

2 -3 pages that:

- Briefly describe the project evaluated
- Explain the purpose and objectives of the evaluation, including the audience
- Describes key aspects of the evaluation approach and methods
- Summarizes principle conclusions, recommendations and lessons

iii. **Acronyms and Abbreviations**

(See: UNDP Editorial Manual¹⁶)

1. **Introduction**

- Purpose of the evaluation
 - Briefly explain why the terminal evaluation was conducted (the purpose), why the project is being evaluated at this point in time, why the evaluation addressed the questions it did, and the primary intended audience.
- Key issues addressed
 - Providing an overview of the evaluation questions raised .
- Methodology of the evaluation
 - Clear explanation of the evaluation's scope, primary objectives and main questions. The Evaluation ToR may also elaborate additional objectives that are specific to the project focal area and national circumstances, and which may address the project's integration with other UNDP strategic interventions in the project area
 - Stakeholders' engagement in the evaluation, including how the level of stakeholder involvement contributes to the credibility of the evaluation findings, conclusions and recommendations.
- Structure of the evaluation
 - Acquaint the reader with the structure and contents of the report and how the information contained in the report will meet the purposes of the evaluation and satisfy the information needs of the report's intended users
- Evaluation Team

¹⁶ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

- Briefly describing the composition of the evaluation team, background and skills and the appropriateness of the technical skill mix, gender balance and geographical representation.
- Ethics
 - The evaluators should note the steps taken to protect the rights and confidentiality of persons interviewed (see UNEG 'Ethical Guidelines for Evaluators' for more information).¹⁷ Attached to this report should be a signed 'Code of Conduct' form from each of the evaluators.

2. **Project Description and development context**

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

3. **Findings**

(In addition to a descriptive assessment, all criteria marked with (*) should be rated¹⁸)

3.1 **Project Formulation**

- Analysis of LFA (Project logic /strategy; Indicators)
- Assumptions and Risks
- Lessons from other relevant projects (e.g., same focal area) incorporated into project implementation
- Stakeholder participation (*)
- Replication approach
- Cost-effectiveness
- UNDP comparative advantage
- Linkages between project and other interventions within the sector, including management arrangements

3.2 **Project Implementation**

- 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
- Feedback from M&E activities used for adaptive management
 - Financial Planning
 - Monitoring and evaluation (*)
 - Execution and implementation modalities
 - Management by the UNDP country office
 - Coordination and operational issues

3.3 **Project Results**

- Attainment of objectives (*)

¹⁷ UNEG, 'Ethical Guidelines for Evaluation', June 2008. Available at:
<http://www.uneval.org/search/index.jsp?q=ethical+guidelines>

¹⁸ The ratings are: Highly Satisfactory, Satisfactory, Marginally Satisfactory, Unsatisfactory

- Country ownership
 - Mainstreaming
 - Sustainability (*)
 - Catalytic Role
 - Impact
4. Conclusions, recommendations & lessons
- Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives
 - Best and worst practices in addressing issues relating to relevance, performance and success
5. Annexes
- TOR
 - Itinerary
 - List of persons interviewed
 - Summary of field visits
 - List of documents reviewed
 - Questionnaire used and summary of results
 - Evaluation Consultant Agreement Form

ANNEX 3: CO-FINANCING TABLE

Co financing (Type/ Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other Sources* (mill US\$)		Total Financing (mill US\$)		Total Disbursement (mill US\$)	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Grant										
Credits										
Loans										
Equity										
In-kind										
Non-grant Instruments *										
Other Types										
TOTAL										

* Other Sources refer to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector, etc. Specify each and explain "Other sources" of co-financing when possible.

* Describe "Non-grant instruments" (such as guarantees, contingent grants, etc.)

**TEN OPERATIONAL PRINCIPLES FOR DEVELOPMENT
AND IMPLEMENTATION OF THE GEF'S WORK PROGRAM**

1. For purposes of the financial mechanisms for the implementation of the Convention on Biological Diversity and the United Nations Framework Convention on Climate Change, the GEF will **function under the guidance of, and be accountable to, the Conference of the Parties** (COPs). For purposes of financing activities in the focal area of ozone layer depletion, GEF operational policies will be consistent with those of the Montreal Protocol on Substances that Deplete the Ozone Layer and its amendments.
2. The GEF will provide new, and additional, grant and concessional funding to meet the agreed **incremental costs** of measures to achieve agreed global environmental benefits.
3. The GEF will ensure the **cost-effectiveness** of its activities to maximize global environmental benefits.
4. The GEF will fund projects that are **country-driven** and based on national priorities designed to support sustainable development, as identified within the context of national programs.
5. The GEF will maintain sufficient **flexibility** to respond to changing circumstances, including evolving guidance of the Conference of the Parties and experience gained from monitoring and evaluation activities.
6. GEF projects will provide for **full disclosure** of all non-confidential information.
7. GEF projects will provide for consultation with, and **participation** as appropriate of, the beneficiaries and affected groups of people.
8. GEF projects will conform to the **eligibility** requirements set forth in paragraph 9 of the GEF Instrument.
9. In seeking to maximize global environmental benefits, the GEF will emphasize its **catalytic role** and leverage additional financing from other sources.
10. The GEF will ensure that its programs and projects are **monitored and evaluated** on a regular basis.

¹⁹ <http://www.gefweb.org/public/opstrat/ch1.htm>

ANNEX 5: EVALUATION CRITERIA MATRIX (BIODIVERSITY SPECIFIC EXAMPLE)

Evaluative Criteria	Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the UNCBD and GEF focal areas, and to the environment and development priorities at the local, regional and national levels for biodiversity conservation in Carpathian mountain grassland ecosystems?				
Is the project relevant to UNCBD and other international convention objectives?	<ul style="list-style-type: none"> How does the project support the objectives of the UNCBD? Does the project support other international conventions, such as the Carpathian Convention, and the UNFCCC? 	<ul style="list-style-type: none"> UNCBD priorities and areas of work incorporated in project design Level of implementation of UNCBD in Czech Republic, and contribution of the project Priorities and areas of work of other conventions incorporated in project design Extent to which the project is actually implemented in line with incremental cost argument 	<ul style="list-style-type: none"> Project documents National policies and strategies to implement the UNCBD, other international conventions, or related to environment more generally UNCBD and other international convention web sites 	<ul style="list-style-type: none"> Documents analyses Interviews with project team, UNDP and other partners
Is the project relevant the GEF biodiversity focal area?	<ul style="list-style-type: none"> How does the project support the GEF biodiversity focal area and strategic priorities 	<ul style="list-style-type: none"> Existence of a clear relationship between the project objectives and GEF biodiversity focal area 	<ul style="list-style-type: none"> Project documents GEF focal areas strategies and documents 	<ul style="list-style-type: none"> Documents analyses GEF website Interviews with UNDP and project team
Is the project relevant to the Czech Republic's environment and sustainable development objectives?	<ul style="list-style-type: none"> How does the project support the environment and sustainable development objectives of the Czech Republic? Is the project country-driven? What was the level of stakeholder participation in project design? What was the level of stakeholder ownership in implementation? Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation? 	<ul style="list-style-type: none"> Degree to which the project supports national environmental objectives Degree of coherence between the project and national priorities, policies and strategies Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities Level of involvement of government officials and other partners in the project design process Coherence between needs expressed by national stakeholders and UNDP-GEF criteria 	<ul style="list-style-type: none"> Project documents National policies and strategies Key project partners 	<ul style="list-style-type: none"> Documents analyses Interviews with UNDP and project partners
Is the project addressing the needs of target beneficiaries at	<ul style="list-style-type: none"> How does the project support the needs of relevant stakeholders? Has the implementation of the project been inclusive of all relevant stakeholders? Were local beneficiaries and stakeholders adequately involved in 	<ul style="list-style-type: none"> Strength of the link between expected results from the project and the needs of relevant stakeholders Degree of involvement and inclusiveness of stakeholders in project design and implementation 	<ul style="list-style-type: none"> Project partners and stakeholders Needs assessment studies Project documents 	<ul style="list-style-type: none"> Document analysis Interviews with relevant stakeholders

the local and regional levels?	project design and implementation?			
Is the project internally coherent in its design?	<ul style="list-style-type: none"> Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc)? Is the length of the project sufficient to achieve project outcomes? 	<ul style="list-style-type: none"> Level of coherence between project expected results and project design internal logic Level of coherence between project design and project implementation approach 	<ul style="list-style-type: none"> Program and project documents Key project stakeholders 	<ul style="list-style-type: none"> Document analysis Key interviews
How is the project relevant with respect to other donor-supported activities?	<ul style="list-style-type: none"> Does the GEF funding support activities and objectives not addressed by other donors? How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors? Is there coordination and complementarity between donors? 	<ul style="list-style-type: none"> Degree to which program was coherent and complementary to other donor programming nationally and regionally 	<ul style="list-style-type: none"> Documents from other donor supported activities Other donor representatives Project documents 	<ul style="list-style-type: none"> Documents analyses Interviews with project partners and relevant stakeholders
Does the project provide relevant lessons and experiences for other similar projects in the future?	<ul style="list-style-type: none"> Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis
Effectiveness: To what extent have/will the expected outcomes and objectives of the project been/be achieved?				
Has the project been effective in achieving the expected outcomes and objectives?	<ul style="list-style-type: none"> Has the project been effective in achieving its expected outcomes? <ol style="list-style-type: none"> Institutional capacity in place to assess, plan and implement priority conservation management of mountain grasslands taking advantage of newly available EU funding mechanisms Farmers' capacity and incentives for and participation in conservation-oriented management of mountain grasslands is improved Monitoring and evaluation programme for mountain grassland biodiversity conservation management in place National policy for agro-environmental schemes incorporates project experience 	<ul style="list-style-type: none"> See indicators in project document results framework and logframe 	<ul style="list-style-type: none"> Project documents Project team and relevant stakeholders Data reported in project annual and quarterly reports 	<ul style="list-style-type: none"> Documents analysis Interviews with project team Interviews with relevant stakeholders
How is risk and risk mitigation being managed?	<ul style="list-style-type: none"> How well are risks, assumptions and impact drivers being managed? What was the quality of risk mitigation strategies developed? Were these sufficient? Are there clear strategies for risk mitigation related with long-term sustainability of the project? 	<ul style="list-style-type: none"> Completeness of risk identification and assumptions during project planning and design Quality of existing information systems in place to identify emerging risks and other issues Quality of risk mitigations strategies developed and followed 	<ul style="list-style-type: none"> Project documents UNDP, project team, and relevant stakeholders 	<ul style="list-style-type: none"> Document analysis Interviews
What lessons can be drawn regarding	<ul style="list-style-type: none"> What lessons have been learned from the project regarding achievement of outcomes? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis

effectiveness for other similar projects in the future?	<ul style="list-style-type: none"> What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results? 			
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?				
Was project support provided in an efficient way?	<ul style="list-style-type: none"> Was adaptive management used or needed to ensure efficient resource use? Did the project logical framework and work plans and any changes made to them use as management tools during implementation? Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? Was project implementation as cost effective as originally proposed (planned vs. actual) Did the leveraging of funds (co-financing) happen as planned? Were financial resources utilized efficiently? Could financial resources have been used more efficiently? Was procurement carried out in a manner making efficient use of project resources? How was results-based management used during project implementation? 	<ul style="list-style-type: none"> Availability and quality of financial and progress reports Timeliness and adequacy of reporting provided Level of discrepancy between planned and utilized financial expenditures Planned vs. actual funds leveraged Cost in view of results achieved compared to costs of similar projects from other organizations Adequacy of project choices in view of existing context, infrastructure and cost Quality of results-based management reporting (progress reporting, monitoring and evaluation) Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency Cost associated with delivery mechanism and management structure compare to alternatives 	<ul style="list-style-type: none"> Project documents and evaluations UNDP Project team 	<ul style="list-style-type: none"> Document analysis Key interviews
How efficient are partnership arrangements for the project?	<ul style="list-style-type: none"> To what extent partnerships/linkages between institutions/ organizations were encouraged and supported? Which partnerships/linkages were facilitated? Which ones can be considered sustainable? What was the level of efficiency of cooperation and collaboration arrangements? Which methods were successful or not and why? 	<ul style="list-style-type: none"> Specific activities conducted to support the development of cooperative arrangements between partners, Examples of supported partnerships Evidence that particular partnerships/linkages will be sustained Types/quality of partnership cooperation methods utilized 	<ul style="list-style-type: none"> Project documents and evaluations Project partners and relevant stakeholders 	<ul style="list-style-type: none"> Document analysis Interviews
Did the project efficiently utilize local capacity in implementation?	<ul style="list-style-type: none"> Was an appropriate balance struck between utilization of international expertise as well as local capacity? Did the project take into account local capacity in design and implementation of the project? Was there an effective collaboration between institutions responsible for implementing the project? 	<ul style="list-style-type: none"> Proportion of expertise utilized from international experts compared to national experts Number/quality of analyses done to assess local capacity potential and absorptive capacity 	<ul style="list-style-type: none"> Project documents and evaluations UNDP Beneficiaries 	<ul style="list-style-type: none"> Document analysis Interviews
What lessons can be drawn regarding efficiency for other similar projects in the future?	<ul style="list-style-type: none"> What lessons can be learnt from the project regarding efficiency? How could the project have more efficiently carried out implementation (in terms of management structures and procedures, partnerships arrangements etc...)? What changes could have been made (if any) to the project in order to improve its efficiency? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis

Results: What are the current actual, and potential long-term, results of activities supported by the project?

How is the project effective in achieving its long-term objectives?	<ul style="list-style-type: none"> Will the project achieve its overall objective to “Strengthen the conservation management of globally significant biodiversity in species-rich mountain grassland habitats (grasslands and pastures) in two Protected Landscape Areas (PLA) in the Carpathian Mountains of the Czech Republic” Is the globally significant biodiversity of the target area likely to be conserved? What barriers remain to achieving long-term objectives, or what necessary steps remain to be taken by stakeholders to achieve sustained impacts and Global Environmental Benefits? Are there unanticipated results achieved or contributed to by the project? 	<ul style="list-style-type: none"> Change in capacity: <ul style="list-style-type: none"> To pool/mobilize resources For related policy making and strategic planning For implementation of related laws and strategies through adequate institutional frameworks and their maintenance Change in use and implementation of sustainable livelihoods Change in the number and strength of barriers such as: <ul style="list-style-type: none"> Knowledge about biodiversity conservation and sustainable use of biodiversity resources, and economic incentives in these areas Cross-institutional coordination and inter-sectoral dialogue Knowledge of biodiversity conservation and sustainable use practices by end users Coordination of policy and legal instruments incorporating biodiversity conservation and agro-environmental strategies Agro-environmental economic incentives for stakeholders 	<ul style="list-style-type: none"> Project documents Key stakeholders Monitoring data 	<ul style="list-style-type: none"> Documents analysis Meetings with UNDP, project team and project partners Interviews with project beneficiaries and other stakeholders
How is the project effective in achieving the objectives of the UNCBD?	<ul style="list-style-type: none"> What are the impacts or likely impacts of the project? <ul style="list-style-type: none"> On the local environment; On economic well-being; On other socio-economic issues. 	<ul style="list-style-type: none"> Provide specific examples of impacts at species, ecosystem or genetic levels, as relevant 	<ul style="list-style-type: none"> Project documents UNCDB documents Key Stakeholders Monitoring data 	<ul style="list-style-type: none"> Data analysis Interviews with key stakeholders
Future directions for results	<ul style="list-style-type: none"> How can the project build on its successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis
Sustainability: Are the conditions in place for project-related benefits and results to be sustained?				
Are sustainability issues adequately integrated in project design?	<ul style="list-style-type: none"> Were sustainability issues integrated into the design and implementation of the project? 	<ul style="list-style-type: none"> Evidence / quality of sustainability strategy Evidence / quality of steps taken to ensure sustainability 	<ul style="list-style-type: none"> Project documents and evaluations UNDP and project personnel and project partners Beneficiaries 	<ul style="list-style-type: none"> Document analysis Interviews
Financial sustainability	<ul style="list-style-type: none"> Did the project adequately address financial and economic sustainability issues? Are the recurrent costs after project completion sustainable? 	<ul style="list-style-type: none"> Level and source of future financial support to be provided to relevant sectors and activities after project ends Evidence of commitments from international partners, governments or other stakeholders to financially support relevant sectors of activities after project end 	<ul style="list-style-type: none"> Project documents and evaluations UNDP and project personnel and project partners Beneficiaries 	<ul style="list-style-type: none"> Document analysis Interviews

Institutional and governance sustainability		<ul style="list-style-type: none"> Level of recurrent costs after completion of project and funding sources for those recurrent costs 		
	<ul style="list-style-type: none"> Were the results of efforts made during the project implementation period well assimilated by organizations and their internal systems and procedures? Is there evidence that project partners will continue their activities beyond project support? What degree is there of local ownership of initiatives and results? Were laws, policies and frameworks addressed through the project, in order to address sustainability of key initiatives and reforms? What is the level of political commitment to build on the results of the project? Are there policies or practices in place that create perverse incentives that would negatively affect long-term benefits? 	<ul style="list-style-type: none"> Degree to which project activities and results have been taken over by local counterparts or institutions/organizations Level of financial support to be provided to relevant sectors and activities by in-country actors after project end Efforts to support the development of relevant laws and policies State of enforcement and law making capacity Evidences of commitment by government enactment of laws and resource allocation to priorities 	<ul style="list-style-type: none"> Project documents and evaluations UNDP and project personnel and project partners Beneficiaries 	<ul style="list-style-type: none"> Document analysis Interviews
Social-economic sustainability	<ul style="list-style-type: none"> Did the project contribute to key building blocks for socio-economic sustainability? Did the project contribute to local stakeholders' acceptance of effective agro-environmental schemes? Are there adequate market incentives to ensure sustained environmental and economic benefits achieved through the project? 	<ul style="list-style-type: none"> Example of contributions to sustainable socio-economic changes in support of national development goals and strategies Examples of contributions to sustainable socio-economic changes in support of the objectives of the UNCBD and other conventions 	<ul style="list-style-type: none"> Project documents and evaluations UNDP, project personnel and project partners Beneficiaries 	<ul style="list-style-type: none"> Interviews Documentation review
Environmental sustainability	<ul style="list-style-type: none"> Are there risks to the environmental benefits that were created or that are expected to occur? Are there long-term environmental threats that have not been addressed by the project? Have any new environmental threats emerged in the project's lifetime? 	<ul style="list-style-type: none"> Evidence of potential threats such as infrastructure development Assessment of unaddressed or emerging threats 	<ul style="list-style-type: none"> Project documents and evaluations Threat assessments Government documents or other external published information UNDP, project personnel and project partners Beneficiaries 	<ul style="list-style-type: none"> Interviews Documentation review
Individual, institutional and systemic capacity development	<ul style="list-style-type: none"> Is the capacity in place at the regional, national and local levels adequate to ensure sustainability of the results achieved to date? Were the necessary related capacities for lawmaking and enforcement built? 	<ul style="list-style-type: none"> Elements in place in those different management functions, at the appropriate levels (regional, national and local) in terms of adequate structures, strategies, systems, skills, incentives and interrelationships with other key actors 	<ul style="list-style-type: none"> Project documents UNDP, project personnel and project partners Beneficiaries Capacity assessments available, if any 	<ul style="list-style-type: none"> Interviews Documentation review
Replication	<ul style="list-style-type: none"> Were project activities and results replicated nationally and / or scaled up? What was the project contribution to replication or scaling up actively or passively promoted? Were project activities and results replicated or scaled-up in other countries? 	<ul style="list-style-type: none"> Number/quality of replicated initiatives Number/quality of replicated innovative initiatives Scale of additional investment leveraged 	<ul style="list-style-type: none"> Other donor programming documents Beneficiaries UNDP, project personnel and project partners 	<ul style="list-style-type: none"> Document analysis Interviews
Challenges to sustainability of the	<ul style="list-style-type: none"> What are the main challenges that may hinder sustainability of efforts? Have any of these been addressed through project management? 	<ul style="list-style-type: none"> Challenges in view of building blocks of sustainability as presented above Recent changes which may present new challenges to 	<ul style="list-style-type: none"> Project documents and evaluations Beneficiaries 	<ul style="list-style-type: none"> Document analysis Interviews

project	<ul style="list-style-type: none"> • What could be the possible measures to further contribute to the sustainability of efforts achieved with the project? 	<p>the project</p> <ul style="list-style-type: none"> • Education strategy and partnership with school, education institutions etc. 	<ul style="list-style-type: none"> • UNDP, project personnel and project partners 	
Future directions for sustainability and catalytic role	<ul style="list-style-type: none"> • Which areas/arrangements under the project show the strongest potential for lasting long-term results? • What are the key challenges and obstacles to the sustainability of results of the project initiatives that must be directly and quickly addressed? • How can the experience and good project practices influence the strategies for biodiversity conservation of mountain grasslands through agro-environmental schemes? • Are national decision-making institutions prepared to continue improving their strategy for effective biodiversity conservation through agro-environmental schemes? 		<ul style="list-style-type: none"> • Data collected throughout evaluation 	<ul style="list-style-type: none"> • Data analysis

ANNEX 6: EVALUATION CONSULTANT CODE OF CONDUCT AGREEMENT FORM

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.

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.
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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.

Evaluation Consultant Agreement Form²⁰

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

²⁰ www.unevaluation.org/unegcodeofconduct

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at (place)on

Signature: _____

ANNEX 7: MANAGEMENT RESPONSE TEMPLATE

UNDP/GEF Terminal Evaluation Management Response and Tracking Template

Project Title: _____

Project PIMS #: _____

Terminal Evaluation Completion Date: _____

Key issues and Recommendations	Management Response*				Tracking**	
	Response	Key Actions	Timeframe	Responsible unit(s)	Status***	Comments

* Unit(s) assigned to be responsible for the preparation of a management response will fill the columns under the management response section.

** Unit(s) assigned to be responsible for the preparation of a management response will be updating the implementation status. Assigned with an oversight function monitors and verifies the implementation status.

*** **Status of Implementation:** Completed, Partially Completed, Pending