GUIDANCE FOR CONDUCTING TERMINAL EVALUATIONS OF UNDP-SUPPORTED, GEF-FINANCED PROJECTS

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Acronyms and Abbreviations

BPPS	Bureau for Policy and Programme Support
CEO	Chief Executive Officer
CPD	Country Programme Document
CO	Country Office
CSO	Civil Society Organization
EA	Enabling Activity
ERM	Enterprise Risk Management
ERC	Evaluation Resource Centre
GAAP	Gender Analysis and Action Plan
GEF	Global Environment Facility
GEF IEO	GEF Independent Evaluation Office
GEF OFP	GEF Operational Focal Point
GEF TF	GEF Trust Fund
FSP	Full-sized project
IA	Implementing agency
LDCF	Least Developed Countries Fund
LFA	Logframe Analysis
M&E	Monitoring and Evaluation
MSP	Medium-sized project
MTR	Mid-Term Review
NCE	Nature, Climate and Energy
NIM	National implementation modality
NGO	Non-governmental organization
PA	Programme Associate
PIF	Project Identification Form
PIR	Project Implementation Report
POPP	Programme and Operations Policies and Procedures
ProDoc	Project document
PTA	Principal Technical Advisor
QA	Quality Assessment
RTA	Regional Technical Advisor
SCCF	Special Climate Change Fund
SDGs	Sustainable Development Goals (Global Goals)
SEP	Stakeholder Engagement Plan
SES/SESP	Social and Environmental Standards / Screening Procedure
TE	Terminal Evaluation
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDP IEO	UNDP Independent Evaluation Office
UNDP PIMS	UNDP Project Information Management System
UNEG	United Nations Evaluation Group
UNEP	United Nations Environment Programme
UNSDCF	United Nations Sustainable Development Cooperation Framework

1. Introduction

This document provides guidance for undertaking Terminal Evaluations (TEs) of projects supported by the United Nations Development Programme (UNDP) with grant financing from the Global Environmental Facility (GEF) family of funds.[1]

Terminal Evaluations for GEF-financed projects have the following complementary purposes:

- To promote accountability and transparency;
- To synthesize lessons that can help to improve the selection, design and implementation of future UNDP-supported GEF-financed initiatives; and to improve the sustainability of benefits and aid in overall enhancement of UNDP programming;
- To assess and document project results, and the contribution of these results towards achieving GEF strategic objectives aimed at global environmental benefits;
- To gauge the extent of project convergence with other priorities within the UNDP country programme, including poverty alleviation; strengthening resilience to the impacts of climate change, reducing disaster risk and vulnerability, as well as cross-cutting issues such gender equality, empowering women[2] and supporting human rights.[3]

The main objectives of this guidance are to standardize the approach to carrying out TEs, outline the steps of the evaluation cycle and clarify roles and responsibilities of parties involved in the TE process. This guidance also details the expected content of evaluation deliverables including Terms of Reference (ToR), evaluation reports, and management responses. Information on the quality assurance of evaluations is also provided.

This guidance is primarily intended for independent evaluators who need to understand the requirements and processes for evaluations of UNDP-supported GEF-financed projects. The guidance is also useful for Project Teams and UNDP staff involved in organizing, planning, commissioning and managing evaluations; and recruiting evaluators. It is designed to enhance compliance with both UNDP and GEF evaluation policies.

1.1 UNDP and GEF Evaluation Policies

This guidance document aligns with UNDP and GEF Evaluation policies which both follow the norms and standards of the United Nations Evaluation Group (UNEG).[4]

The UNDP Evaluation Policy[5] states, "Evaluations should focus on expected and achieved accomplishments, critically examining the presumed causal chains, processes, and attainment of results,

[1] GEF Trust Fund (GEF TF), Least Developed Countries Funds (LDCF), Special Climate Change Fund (SCCF), Nagoya Protocol Implementation Fund (NPIF), Capacity Building Initiative for Transparency (CBIT)

[2] See 'UNDP Gender Equality Strategy 2018-2021' https://www.undp.org/content/undp/en/home/librarypage/womens-empowerment/undp-gender-equality-strategy-2018-2021.html

[3] See 'Integrating Human Rights and Gender Equality in Evaluations', UNEG http://www.uneval.org/document/detail/980

[4] UNDP and GEF are members of UNEG and have developed evaluation requirements in conformance with UNEG norms and standards, see http://www.uneval.org

[5] Access at: http://web.undp.org/evaluation/policy.shtml

as well as the contextual factors that may enhance or impede the achievement of results. Evaluations focus on determining the relevance, impact, effectiveness, efficiency and sustainability of UNDP work in order to make adjustments and improve contributions to development," and, "When required by a cost-sharing agreement or partnership protocol (such as the Global Environment Facility), evaluations are mandatory, and must be included in evaluation plans."

The UNDP Independent Evaluation Office (IEO) released an updated version of the UNDP Evaluation Guidelines[6] in January 2019. In June 2019, the GEF Council approved a revised GEF Evaluation Policy[7]. This guidance document is based on both UNDP and GEF policy and guidance.

Table 1. Summary of main differences between non-GEF UNDP decentralized evaluations and Terminal Evaluations of GEF-financed projects

	Non-GEF UNDP decentralized evaluations	Decentralized Terminal Evaluations of GEF-financed projects
Mandatory threshold	• Projects with a planned budget or actual expenditure of more than US$5 million must complete a Mid-term and Final Evaluation • Projects with a planned budget or actual expenditure of between US$3 million and US$5 million must complete a Mid-Term or Final Evaluation • Projects with a duration of more than five years must complete at least one evaluation, Mid-Term or Final Evaluation	• All full-sized projects (FSPs), projects with a GEF grant value of more than US$2 million, and all programmes must complete a Mid-Term Review and Terminal Evaluation • All medium-sized projects (MSPs), projects with a GEF grant value of over US$500,000 up to US$2 million, must complete a Terminal Evaluation. • Mid-Term Reviews are optional for MSPs. • Terminal Evaluations are optional for expedited Enabling Activities/EAs, projects with a GEF grant value of less than US$500,000
Report content	See Annex 3 of the UNDP Evaluation Guidelines[8] for the UNDP evaluation report template	See Annex 7 for a checklist of content for TE reports for GEF-financed projects
Criteria to be assessed	At minimum: • Relevance • Effectiveness • Efficiency • Sustainability • Gender and human rights • Additional cross-cutting issues, as relevant: persons with disabilities,	At minimum: • Relevance • Effectiveness • Efficiency • Sustainability • Gender and human rights • Additional cross-cutting issues, as relevant: persons with disabilities,

[6] Access at: http://web.undp.org/evaluation/guideline/index.shtml

[7] The GEF Evaluation Policy, GEF/ME/C.56/02 – https://www.thegef.org/council-meeting-documents/gef-evaluation-policy

[8] Access at: http://web.undp.org/evaluation/guideline/index.shtml

	vulnerable groups, poverty and environment nexus, disaster risk reduction, climate change mitigation and adaptation)	vulnerable groups, poverty and environment nexus, disaster risk reduction, climate change mitigation and adaptation) • Results Framework • Progress to Impact • Monitoring & Evaluation (M&E) Design and Implementation • UNDP oversight/implementation • Implementing Partner execution • GEF additionality • Adaptive Management • Stakeholder Engagement • Financing & materialization of co-financing • Social and Environmental Standards (Safeguards)
Ratings	Not required	Required for the following criteria: • Relevance • Effectiveness • Efficiency • Sustainability • M&E Design • M&E Implementation • UNDP oversight/implementation • Implementing Partner execution

1.2 Comparing MTR and TE requirements

Table 2 compares the requirements for Mid-Term Reviews (MTRs) and TEs and sets out the distinguishing characteristics of both. There is a separate guidance document for MTRs for UNDP-supported GEF-financed projects.[9]

Table 2. Comparing the MTR and TE requirements for GEF-financed projects/programmes

	Mid-Term Review	Terminal Evaluation
Mandatory threshold	• All FSPs, projects with a GEF grant value of more than US$2 million • All programmes • MTRs are optional for MSPs	• All FSPs • All MSPs, projects with a GEF grant value of over US$500,000 up to US$2 million • All programmes • TEs are optional for expedited EAs, projects with a GEF grant value of less than US$500,000

[9] Access at: http://web.undp.org/evaluation/guidance.shtml#handbook

Focus	• Assessment of progress towards results • Documentation of any significant changes in context since project development / approval • Monitoring of implementation and adaptive management to improve outcomes • Early identification of risks to sustainability • Emphasis on supportive recommendations	• Verification and assessment of implementation and results • Accountability • Identification of project's successes in order to promote replicability • Actions necessary for consolidation and sustainability of results • Emphasis on Lessons learned • Inform design of future projects
Timeframe	At mid-point of the project[10]	Within the 6-month period prior to the expected TE completion date
Criteria to be assessed	At minimum: • Project Design • Results Framework • Progress Towards Results • Project Implementation and Adaptive Management • Management arrangements; • Work planning; • Finance and materialization of co-financing; • M&E • Stakeholder Engagement • Social and Environmental Standards (Safeguards); • Reporting; • Communications • Sustainability • Gender and human rights • Additional cross-cutting issues, as relevant: persons with disabilities, vulnerable groups, poverty and environment nexus, disaster risk reduction, climate change mitigation and adaptation)	At minimum: • Relevance • Effectiveness • Efficiency • Sustainability • Gender and human rights • Additional cross-cutting issues, as relevant: persons with disabilities, vulnerable groups, poverty and environment nexus, disaster risk reduction, climate change mitigation and adaptation) • Results Framework • Progress to Impact • M&E Design and Implementation • UNDP oversight/implementation • Implementing Partner execution • GEF additionality • Adaptive Management • Stakeholder Engagement • Finance & materialization of co-financing • Social and Environmental Standards (Safeguards)

[10] The planned MTR date is taken from the ProDoc and can only be revised once after the 1st Project Implementation Report (PIR). The expected MTR date (from the ProDoc) and revised expected MTR date (if one was set after the 1st PIR) cannot go beyond 36 months past the project's CEO Endorsement date.

Ratings	Required for the following criteria: • Progress Towards Results (per Objective and Outcome) • Project Implementation & Adaptive Management • Sustainability	Required for the following criteria: • Relevance • Effectiveness • Efficiency • Sustainability • M&E Design • M&E Implementation • UNDP oversight/implementation • Implementing Partner execution
Duration of assignment	25-35 working days (average)	25-35 working days (average)
Management Response required?	Yes	Yes
Mandatory to include in UNDP Evaluation Plans and post to the ERC?	Yes	Yes
Final Report Quality Assessed?	No	Yes, by the UNDP Independent Evaluation Office (IEO)

1.3 TEs for jointly implemented and multi-component projects

Most FSPs and MSPs are single-country projects that are assigned one ID number by the GEF. As per GEF rules, one TE report is expected for each GEF ID. This rule applies regardless of whether a project is implemented by more than one agency and/or has multiple country components.

Some GEF-financed projects are carried out jointly, meaning more than one GEF Agency has been assigned to the project. As per GEF policy, evaluation arrangements must follow what was agreed by the Agencies at the project's CEO Endorsement stage. During the design phase of a jointly implemented project, the Lead Agency (i.e. usually the Agency that will manage a majority of the GEF grant) is responsible for guiding the discussion with the other participating Agency(ies) on evaluation responsibilities. In most cases, the Lead Agency is responsible for carrying out the TE, with input from the other Agency(ies), and submitting the final TE report to the GEF. However, other arrangements are acceptable. The project M&E plan in the ProDoc should clearly set out the process by which jointly implemented projects are evaluated. The M&E plan should clarify responsibilities for review and approval procedures and be developed through consultations between the Agencies prior to the project launch. A jointly implemented project with a single GEF ID should produce only one TE report with one set of ratings regardless of the division of project outcomes, budget, etc. across the Agencies.

Joint evaluations can entail a more extensive level of effort and time-consuming report commenting process.

For global or regional GEF-financed projects that carry a single GEF ID but have multiple country components, only one TE should be completed and submitted to the GEF. The country sub-components might carry out their own individual TEs, however, those individual TEs must not be submitted to the GEF but rather feed into the TE covering the entire project.

The Nature, Climate and Energy Regional Technical Advisors (RTAs) and Regional Programme Associates (PAs) can confirm if a jointly implemented project or multi-country project carries a single GEF ID.

2. Terminal Evaluation Process

This chapter outlines the steps that should be taken within each phase of the TE process.

The TE process must follow a collaborative and participatory approach ensuring close engagement with key participants including the Commissioning Unit (usually the UNDP Country Office), RTAs, Regional M&E Advisors, Country Office M&E Focal Points and Programme Officers, Government counterparts including the GEF Operational Focal Point (OFP), the Nature, Climate and Energy Vertical Fund Directorate, and other key stakeholders.

2.1 Terminal Evaluation Planning and Timing

Consistent with the UNDP Evaluation Guidelines, all MTRs and TEs of GEF-financed projects (national, regional and global) are to be included in evaluation plans that are posted in the publicly accessible UNDP Evaluation Resource Centre (ERC)[11]. For guidance on evaluation plan development, see Section 3 of the UNDP Evaluation Guidelines.[12]

The TE process should begin at least 6 months before the expected TE date. Ideally, the process is scheduled so that the evaluation mission occurs during the last few months of project activities, allowing the mission to proceed while the Project Team is still in place, yet ensuring the project is close enough to completion for the evaluation team reach conclusions on key aspects such as project sustainability. No significant project activities should take place after the TE process is completed. The project must be financially closed within twelve months of TE completion.

TE budgets will vary depending on whether the project is country-specific or regionally focused, the number and geographic scope of project field sites to be visited, the number and types of stakeholders engaged, the array of outputs planned, and whether the evaluators are locally and/or internationally hired. A TE assignment typically requires 25-35 working days for a single-country full-sized project.

2.2 Terminal Evaluation Phases

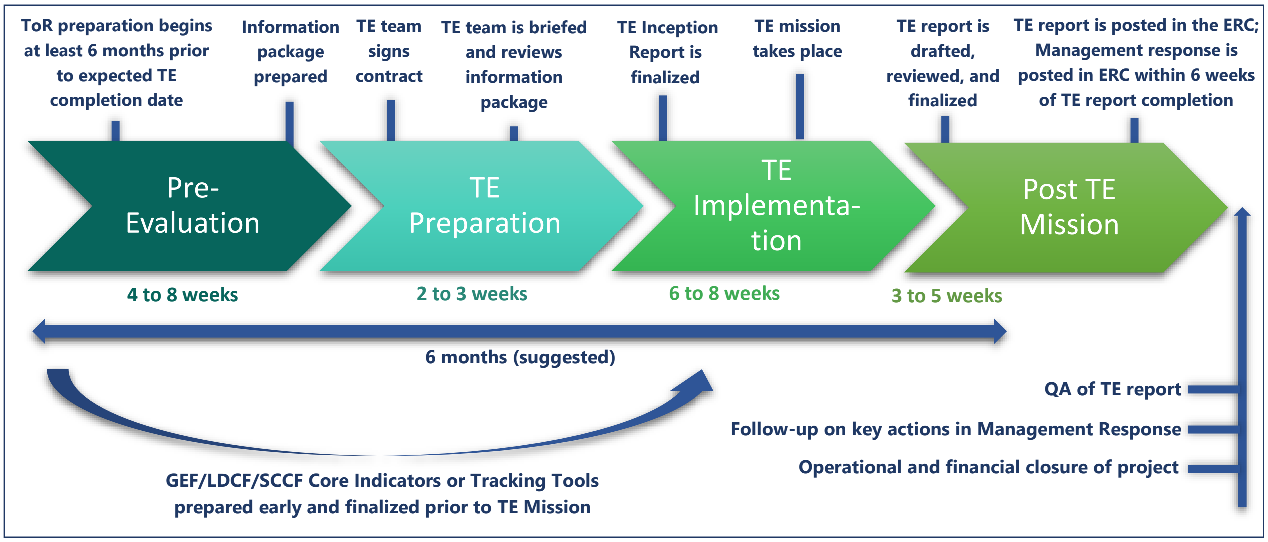
TE activities are divided into the following four phases, as shown in Figure 1.

A) Pre-Evaluation: preparation and advertisement of the TE ToR, preparation of mandatory GEF/LDCF/SCCF Core Indicators or Tracking Tools, compilation of information package
B) TE Preparation: selection of the TE team, briefing and information package for TE team, preparation of the TE mission (for projects that have field-based activities)
C) TE Implementation: development and presentation of TE Inception Report, TE mission, presentation of initial TE findings to key stakeholders
D) Post TE Mission: drafting, review and finalization of the TE report, preparation of the management response, implementation of follow-up actions

[11] Access at: https://erc.undp.org/

[12] Access at: http://web.undp.org/evaluation/guideline/section-3.shtml

Figure 1. Indicative Terminal Evaluation Phases



A) Pre-Evaluation Phase

Pre-evaluation activities should commence at least 6 months prior to the expected TE completion date. The primary activities of the pre-evaluation phase include the preparation and advertisement of the TE ToR; preparation of mandatory GEF/LDCF/SCCF Core Indicators or Tracking Tools, which must be reviewed and cleared by the RTA; and compilation of the project information package.

Prior to the start of pre-evaluation activities, the Commissioning Unit ensures that sufficient funds have been allocated for the TE process as per the M&E plan included in the UNDP-GEF Project Document. TE costs can include all or some of the following: fees for TE team, travel costs, venue hire, transportation costs, translation costs during mission (field visits, workshops, interviews, focus groups, workshops, etc.), translation costs of TE report if not originally written in English, editing and dissemination costs, if relevant. Also, if project is jointly implemented, the Commissioning Unit ensures that TE responsibilities between Agencies are clear.

TE Terms of Reference (ToR)

A standard TE ToR is available and is the only ToR that should be used for UNDP-supported GEF-financed projects. Two standard TE ToR templates have been developed – one formatted for the UNDP Procurement website and one formatted for the UNDP Jobs website[13]. The TE ToR should reference and provide a hyperlink to this Guidance. The two TE ToR templates are available in Annexes 2 and 3.

ToR preparation should begin at least 6 months in advance of the expected TE completion date to provide ample time to finalize the ToR, advertise the ToR, carry out the selection process, in consultation with the RTA, and formally hire the TE team. Some Commissioning Units may need to begin the process earlier than 6 months prior to expected TE completion. Ideally, the TE team signs the contract for the

[13] TE ToR templates for GEF-financed projects can be accessed within the 'Guidance' section of the ERC, http://erc.undp.org/

evaluation at least six to eight weeks before the planned start date of the TE mission (or earlier, if needed) to ensure that the TE team has sufficient time to undertake a desk review and examine project documentation, and also to give project stakeholders sufficient notice of the upcoming mission.

The TE ToR defines the scope, requirements and expectations of the evaluation and serves as a guide and point of reference throughout the evaluation. A ToR must be explicit and focused, providing a clear mandate for the TE team about what is being evaluated and why, who will be involved in the evaluation process, and the expected deliverables.

In terms of evaluation methodology, the TE ToR must retain enough flexibility for the evaluation team to determine the best methods and tools for collecting and analysing data. Methodological approaches for TEs may involve some or all the following:

- A mixed methods approach – a combination of qualitative and quantitative evaluation methods and instruments.
- Document review of all relevant sources of information. (See Table 5)
- Semi-structured interviews with key stakeholders
    - Development of evaluation questions around relevance, effectiveness, efficiency and sustainability and designed for different stakeholders to be interviewed.
    - Key informant and focus group discussions with men and women, beneficiaries[14] and stakeholders[15].
    - All interviews must be undertaken in full confidence and anonymity. The final TE report must not assign specific comments to individuals.
- Surveys and questionnaires
- Field visits and on-site validation of key tangible outputs and interventions.
- Other methods such as outcome mapping, observational visits, group discussions, etc.
- Data review and analysis of monitoring data and other data sources and methods.

The ToR for the evaluation should propose a mix of the above approaches, ensuring that gender-responsive evaluation methodologies, tools and data analysis techniques are also selected. At a minimum, the TE team must review background documents, conduct stakeholder interviews and undertake field visits. 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 (RTA, CO, evaluation team and GEF OFP) and further detailed in the Inception Report developed by the TE team. The ToR might suggest using certain methods and tools but the TE team, once selected, will revise the approach in consultation with key stakeholders and depending on what would be most useful for each project's specific context.

[14] Beneficiaries: The individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention

[15] Stakeholder: An individual or group that has a direct or indirect interest in the outcome of the development intervention or its evaluation, or is likely to be affected by it, such as local communities, indigenous peoples, civil society organizations, and private sector entities; stakeholders may include national project or programme executing agencies, or groups contracted to conduct activities at various stages of the project or programme.

The ToR must also include draft evaluation questions, written by the Commissioning Unit in consultation with the Project Team, for the Evaluation Criteria Matrix to be annexed to the ToR (Table 3). The TE team will adjust and finalize the questions in the matrix during the TE Inception Report stage.

Table 3. Evaluation Criteria Matrix template

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

The responsibility of initiating and completing the TE ToR template resides with the M&E Focal Point of the Commissioning Unit who will manage the evaluation process. If there is no M&E Focal Point within the Commissioning Unit then senior management must appoint an Evaluation Manager who is not involved in managing the project being evaluated. The Programme Officer of the Commissioning Unit provides input to the ToR and is involved in the entire TE process but will not drive the process.

The Commissioning Unit shares the draft ToR with the Project Team and RTA. At the end of the ToR development stage the M&E Focal Point in the Commissioning Unit approves the ToR and works with Operations colleagues to advertise it. The Project Team and RTA can share the ToR announcement within their networks and provide potential candidates for the assignment. Alternatively, the Commissioning Unit may choose to use a vetted roster of evaluators to source consultants. Please consult the Regional M&E Advisor and RTA for information on accessing rosters managed at UNDP HQ and Regional Hubs.

Table 4. Who is the Commissioning Unit?

The Commissioning Unit of a TE is the office that includes the TE in their Evaluation Plan. In most cases, the below arrangements apply.

Project Type	Commissioning Unit
Country-specific project	The UNDP Country Office, for most projects under the national implementation (NIM) modality
Regional project	The lead UNDP Country Office or UNDP Regional Hub (please confirm with the relevant RTA)
Jointly implemented project	The lead GEF Partner Agency, as mutually determined by the GEF Partner Agencies involved and indicated in the UNDP-GEF Project Document
Global project	The Vertical Fund Directorate within the Nature, Climate and Energy team or UNDP Regional Hub, as indicated in the UNDP-GEF Project Document

Regardless of the given project's objective, it is required to incorporate gender aspects in all stages of the TE process, starting with the ToR, as reflected in the ToR templates.

Box 1. Integrating gender equality and women's empowerment perspectives in the terms of reference for an evaluation[16]

In principle, all evaluations conducted or commissioned by UNDP must integrate human rights and gender equality and aim to "meet" the requirements of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women Evaluation Performance Indicator. Integrating gender equality and women's empowerment in the scope of the evaluation, as expressed in the terms of reference, is a critical first step. A gender-responsive evaluation should be carried out even if the project being evaluated was not gender-responsive in its design. The UNEG guidance document, 'Integrating Human Rights and Gender Equality in Evaluations'.[17] provides examples of how to incorporate these elements in the definition of the evaluation's purpose, objectives, context and scope and to add a gender dimension to the standard evaluation criteria.

[16] Source: UNDP Evaluation Guidelines http://web.undp.org/evaluation/guideline/index.shtml
[17] Access at: http://unevaluation.org/document/detail/1616

The TE ToR, must also outline the payment schedule for the TE team. Below is a suggested breakdown of payments:

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of the completed TE Audit Trail

  Criteria for issuing the final payment of 40%:

  - The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
  - The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other TE reports).
  - The Audit Trail includes responses and justification for each comment listed.

The Commissioning Unit is obligated to issue payments to the TE team as soon as the terms under the ToR are fulfilled. If the terms are not fulfilled and there is a discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the TE team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters.[18]

All ToRs of decentralized evaluations, including those of GEF-financed projects are quality assessed by the UNDP IEO each year as part of the quality assessment of all UNDP decentralized evaluation reports. Details of the quality assessment process can be found in Section 6 of the UNDP Evaluation Guidelines.[19]

Compilation of Project Information Package

Before the TE team is selected, the M&E Focal Point at the Commissioning Unit, with input from the Project Team, Programme Officer and RTA, must compile a project information package. It is important to prepare this package during the pre-evaluation phase so that it can be given to the TE team immediately after contract signature.

The project information package should include, amongst other documents, the completed GEF/LDCF/SCCF Core Indicators or Tracking Tools, all annual GEF PIRs, the UNDP-GEF Project Document, the project inception report, Project Board meeting minutes, the MTR report if one was required, the management response to the MTR recommendations, and financial data, including planned and actual co-financing data. Included in the package is a brief explanatory note identifying the contents and highlighting especially important documents.

[18] UNDP Individual Contract Policy:
https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

[19] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml

A suggested list of documents to include in the project information package list listed in Table 5. This list should be adjusted, as needed, for each project.

Table 5. Project Information Package

#	Item (electronic versions preferred if available)
1	Project Identification Form (PIF)
2	UNDP Initiation Plan
3	Final UNDP-GEF Project Document with all annexes
4	CEO Endorsement Request
5	UNDP Social and Environmental Screening Procedure (SESP) and associated management plans (if any)
6	Inception Workshop Report
7	Mid-Term Review report and management response to MTR recommendations
8	All Project Implementation Reports (PIRs)
9	Progress reports (quarterly, semi-annual or annual, with associated workplans and financial reports)
10	Oversight mission reports
11	Minutes of Project Board Meetings and of other meetings (i.e. Project Appraisal Committee meetings)
12	GEF Tracking Tools (from CEO Endorsement, midterm and terminal stages)
13	GEF/LDCF/SCCF Core Indicators (from PIF, CEO Endorsement, midterm and terminal stages); for GEF-6 and GEF-7 projects only
14	Financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
15	Co-financing data with expected and actual contributions broken down by type of co-financing, source, and whether the contribution is considered as investment mobilized or recurring expenditures
16	Audit reports
17	Electronic copies of project outputs (booklets, manuals, technical reports, articles, etc.)
18	Sample of project communications materials
19	Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants
20	Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities
21	List of contracts and procurement items over ~US$5,000 (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)
22	List of related projects/initiatives contributing to project objectives approved/started after GEF project approval (i.e. any leveraged or “catalytic” results)
23	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available
24	UNDP Country Programme Document (CPD)

25	List/map of project sites, highlighting suggested visits
26	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted
27	Project deliverables that provide documentary evidence of achievement towards project outcomes
	Additional documents, as required

Summary of actions: Pre-Evaluation Phase

	Action	Timeframe	Responsible Party	Contributors
1	Draft ToR using standard template	At least 6 months prior to expected TE completion date	M&E Focal Point at Commissioning Unit	Programme Officer at Commissioning Unit, Project Team
2	Draft questions for Evaluation Criteria Matrix to be annexed to ToR	At least 6 months prior to expected TE completion date	M&E Focal Point at Commissioning Unit	Project Team
3	Finalize ToR	At least 4 months before expected TE completion date	M&E Focal Point at Commissioning Unit	
4	Advertise ToR or use vetted roster; inform RTA	At least 4 months before expected TE completion date	M&E Focal Point at Commissioning Unit with Operations Unit	
5	Upload ToR to ERC	Within two weeks after ToR is finalized	M&E Focal Point at Commissioning Unit	
6	Clear uploaded ToR in ERC for it to publicly appear	As per schedule at Regional Hub	Regional M&E Advisor	
7	Prepare terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools	Process must begin well in advance of the TE mission, as the Core Indicators/Tracking Tools must be available to the TE team as soon as they are recruited	Project Team	
8	Quality assure and clear GEF/LDCF/SCCF Core Indicators or Tracking Tools		RTA and Nature, Climate and Energy Vertical Fund Directorate	
9	Compile project information package	Final package must be available to TE team as soon as they are recruited	M&E Focal Point at Commissioning Unit	Programme Officer at Commissioning Unit, Project Team

B) TE Preparation Phase

The primary activities of the preparation phase include the selection of the TE team; briefing of the TE team; provision of documents, including the mandatory GEF/LDCF/SCCF Core Indicators or Tracking Tools, to the TE team.

Selection of the TE team

The TE team is typically composed of one or two independent evaluators. 'Independent' means that the evaluator(s) must not have been involved in designing, executing or advising on the project that is being evaluated. This is required to ensure objectivity and to avoid a real or perceived conflict of interest. Therefore, the evaluators that make up the TE team should not have been involved in the preparation of the Project Identification Form (PIF), project document, or in the execution of any project activities, and should not be benefitting from the project activities in any way. For the same reason, the evaluator who undertakes the TE of a project should not be the same person who undertook the project's MTR. See Box 3 for additional information on independence.

The number of TE team members depends on the context and size of the project being evaluated. It is recommended to engage two evaluators, a team leader and team specialist, to allow for the team members to compare notes, verify the accuracy of information collected and recorded, and divide efforts to interview a large number of stakeholders. In general, the team should have the following attributes and experience:

- The team members must be experienced professionals who understand the technical subject matter of the project being evaluated. Knowledge about UNDP and the GEF is an asset, but not a requirement;
- The members must be independent, with no previous or current ties to the project or its Implementing Partner/Responsible Parties;
- The team leader ideally has international evaluation experience (in one or more of the following regions: Africa, Asia & the Pacific, Arab States, Europe & Central Asia, Latin America & the Caribbean);
- The team specialist should have specific technical expertise relevant to the project (for example, a GHG emissions reduction specialist for a climate change mitigation project) and/or relevant expert insight on the national context. Many evaluations benefit from the involvement of a national consultant who has a thorough understanding of local context and culture.

The Commissioning Unit must decide what would work best for a project, keeping in mind that the most important points in recruiting a TE team are that the team members must be independent and qualified. Also, when selecting a TE team, it is important to consider the high priority that UNDP places on gender balance and geographical representation.

It is good practice to share the curriculum vitae (CV) of long- and short-listed candidates with the RTA, Project Team and Nature, Climate and Energy Vertical Fund Directorate, as they may have previously worked with the candidates and could help verify their competency as evaluators. Reviewing completed MTR and TE reports posted in the ERC and/or evaluation quality assessment ratings (accessible by UNDP M&E staff) assigned by the UNDP IEO can give a further check on the quality of an evaluator's work.

When there is a question as to the independence and qualifications of a potential team member, the Commissioning Unit should raise such issues with the Regional M&E Advisor, the RTA and/or the Nature, Climate and Energy Vertical Fund Directorate. More information on required expertise of the TE team can be found in the standard TE ToR templates in Annexes 2 and 3.

The Commissioning Unit will select a TE team using established UNDP procurement protocols, a competitive selection process, ensuring transparency, impartiality and neutrality. Consultancy announcements should be done locally, through the Commissioning Unit's web page, and internationally, through the UNDP Jobs and Procurement web pages.[20]

In some cases, the services of an independent professional interpreter/translator will be needed to accompany the TE team on the TE mission for field visits, interviews, focus groups, workshops, etc. The Commissioning Unit should ensure that funds are available for any translation costs, including translation of the TE report if it is not originally written in English, and that procurement of translation services is done in a timely manner and in line with the TE schedule.

Box 2. Sources of conflict of interest in evaluation[21]

Conflict of interest due to past engagement
UNDP Commissioning Units may not assign consultants to the evaluation of projects, United Nations Development Assistance Frameworks (UNDAF), country programmes, outcomes, sectors and thematic areas in which they have had prior involvement whether in design, implementation, decision-making or financing. Following this principle, UNDP staff members—including advisers based in regional centres and headquarters units, civil servants or employees of NGOs that may be or have been directly or indirectly related to the programme or project—should not take part in the evaluation team.

More broadly, UNDP programme units should consider whether conducting multiple assignments could create a conflict of interest. Many consultants and evaluators undertake numerous assignments for UNDP and its partners during the course of their professional careers. This can include a mixture of evaluation and advisory roles with multiple agencies at different levels. Programme units should make a judgement as to whether a consultant with a high reliance on work with UNDP may preclude them from producing an impartial evaluation. The ERC gives a history of evaluations undertaken by an evaluator in recent years.

Conflict of interest due to potential future involvement
Programme units must ensure that the evaluators will not be rendering any service (related or unrelated to the subject of the evaluation) to the programme unit of the project or outcome being evaluated in the immediate future. Evaluators should not subsequently be engaged in the implementation of a programme or project that was the subject of their evaluation. Equally, evaluators should not be engaged as designers of next phases of projects that they have evaluated.

[20] UNDP Jobs: https://jobs.undp.org/cj_view_jobs.cfm , UNDP Procurement: http://procurement-notices.undp.org/
[21] Source: UNDP Evaluation Guidelines http://web.undp.org/evaluation/guideline/index.shtml

Evaluator's obligation to reveal any potential conflicts of interest

Evaluators must inform UNDP and stakeholders of any potential or actual conflict of interest. The evaluation report should address any potential or actual conflict of interest and indicate measures put in place to mitigate its negative consequences. If a conflict of interest is uncovered or arises during the evaluation, the organization should determine whether the evaluator should be dismissed and/or the evaluation terminated.

Briefing the TE Team

A successful evaluation requires cooperation and support from the Commissioning Unit to the TE team. Therefore, while ensuring that there is no interference in the implementation of an evaluation to safeguard its independence, the Commissioning Unit, together with the Project Team and others, provides support to the TE team throughout the TE process. This includes briefing the TE team, once they are contracted, on the purpose and scope of the TE and expectations of UNDP and stakeholders in terms of the required standards for the quality of the TE process and TE deliverables. The final project information package (see Table 5) must be given to the TE team at this stage. The Commissioning Unit and Project Team can also handle mission preparation during this time.

Summary of actions: Preparation Phase				
	Action	Timeframe	Responsible Party	Contributors
1	Share CVs of long- and short-listed candidates with RTA and Project Team	As soon as application period closes	M&E Focal Point at Commissioning Unit	
2	Select TE team	At least 1-2 months prior to start of the TE mission	M&E Focal Point and Operations team at Commissioning Unit	RTA, Project Team
3	Brief TE team; provide project information package; handle mission preparation	Immediately after TE team is recruited	M&E Focal Point at Commissioning Unit	Project Team, Programme Officer at Commissioning Unit
5	Facilitate finalization by Project Team of GEF/LDCF/SCCF Core Indicators (or Tracking Tools	During recruitment process and once TE team is recruited	M&E Focal Point at Commissioning Unit	Project Team
6	Sign UNEG Code of Conduct form; review evaluation ethics, review TE guidance and other relevant UNDP and/or GEF guidance, review project information package	Contract signature	TE Team	

C) TE Implementation Phase

The primary activities of the TE Implementation Phase include the development and presentation of the TE Inception Report, TE mission, and presentation of initial TE findings to key stakeholders.

TE Inception Report

The TE team must prepare and finalize a concise TE Inception Report approximately two to four weeks prior to the TE mission, or as per the timeline agreed with the Commissioning Unit. The TE Inception Report is based on the ToR; initial communications with the Commissioning Unit, Project Team, and RTA; and review of the project information package. It also outlines the TE team's understanding of the project being evaluated and the methodology(ies) the team will use to ensure the data collected are credible, reliable and useful.

The TE Inception Report provides an opportunity to clarify issues and understanding of the objective and scope of the evaluation, such as resource requirements and delivery schedules. Any changes to the methodologies originally outlined in the TE ToR should be agreed upon and reflected in the TE Inception Report, along with the reasons for the changes. Any identified issues or misunderstandings should also be addressed at this stage and prior to any data-collection or field missions.

The TE team submits the draft TE Inception Report to the Commissioning Unit who will circulate it to the RTA, Regional M&E Advisor, Project Team, and other key stakeholders, as relevant.

The Commissioning Unit and above-mentioned parties review and assure the quality of the draft TE Inception Report and its adherence to the ToR and goals of the evaluation as well as discussions held with the TE team. The TE team will then update the draft TE Inception Report in line with the feedback received and submit the final version to the Commissioning Unit for approval. The Commissioning Unit will share the final TE Inception Report with the GEF OFP and relevant stakeholders.

The TE Inception Report should not exceed 10-15 pages.

A suggested structure for the TE Inception Report is as follows:

- **Background and context** illustrating the understanding of the project/outcome to be evaluated.
- **Evaluation objective, purpose and scope**. A clear statement of the objectives of the evaluation and the main aspects or elements of the initiative to be examined.
- **Cross-cutting issues**: Provide details of how cross-cutting issues (including gender equality, rights-based approach, capacity development, poverty-environment nexus, crisis prevention and recovery, disaster risk reduction, climate change mitigation and adaptation, as relevant) will be evaluated, considered and analysed throughout the evaluation. The description should specify how methods for data collection and analysis will integrate gender considerations, ensure that data collected is disaggregated by sex and other relevant categories, and employ a diverse range of data.

- **Evaluation approach and methodology**, highlighting the conceptual models adopted with a description of data-collection methods, sources and analytical approaches to be employed, including the rationale for their selection (how they will inform the evaluation) and their limitations; data-collection tools, instruments and protocols; and discussion of reliability and validity for the evaluation and the sampling plan, including the rationale and limitations. Sample methodological approaches are described in the 'Pre-evaluation Phase' section of this guidance.
- **Detailed mission plan** with dates and locations of site visits, schedule of interviews and meetings, draft interview questions, list of stakeholders to be met, etc. The decision on which key stakeholders to interview and which sites to visit should be made jointly by the Commissioning Unit, Project Team, and TE team
- **Evaluation criteria matrix:** This identifies the key questions, related to the evaluation criteria, and how they will be answered via the methods selected. See Table 3 for the Evaluation Criteria Matrix template. A sample Evaluation Criteria Matrix is provided in Annex 6.
- A revised schedule of **key milestones, deliverables and responsibilities** including the evaluation phases (data collection, data analysis and reporting).
- **Detailed resource requirements tied to evaluation activities and deliverables** presented in the workplan. Include specific assistance required from UNDP such as providing arrangements for visiting field offices or sites.
- **Outline of the draft/final report** as detailed in the TE Guidance for UNDP-supported GEF-financed projects. The agreed report outline must meet the quality goals outlined in these guidelines and also meet the UNDP IEO's quality assessment requirements outlined in Section 6 of the UNDP Evaluation Guidelines.[22]

The TE Inception Report is the first deliverable of a TE assignment. Therefore, once the Commissioning Unit approves the final TE Inception Report, it must issue the first payment (usually 20% of the TE contract) to the TE team.

TE Mission, Interviews and Site Visits

Depending on the nature and scope of the project, it is typically expected that the TE mission will include interviews with key stakeholders and visits to relevant project field-based activity sites. Interviews with stakeholder groups should be inclusive and gender responsive and both women and men must be interviewed.

The TE mission will need to be formally agreed upon with the Commissioning Unit, but the practical aspects, such as logistics for local travels, will benefit from assistance from the Project Team. The Commissioning Unit is responsible for briefing the GEF OFP at the start of the TE mission.

The TE team will undertake interviews and site visits according to the detailed TE mission plan in the TE Inception report. Interviews must target a diverse array of stakeholders, including project beneficiaries, government representatives, civil society organizations, academia, the RTA, the private sector, local

[22] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml

government officials, and national agency officials including the GEF OFP. Interview schedules should be paced out to ensure that the TE team has adequate time for writing up interview notes each day.

The TE mission should be planned far enough in advance to enable interviews to be properly organized, especially to request meetings with senior Ministry officials. The Commissioning Unit can assist the TE team with setting up these interviews, and providing translations services, if needed. Neither UNDP staff nor Project Team members should act as translators for the TE team, to ensure the team's independence.

Furthermore, in order to preserve independence as well as confidentiality, UNDP staff, Project Team members, and Implementing Partner representatives must not participate in stakeholder or beneficiary meetings or interviews. Interviews and meetings are confidential and final reports must not assign any statements or findings to individuals. Sign-in sheets (or similar) must not be annexed to the TE report.

Presentation of Initial TE Findings

Prior to mission completion, the TE team presents a summary of initial findings to the Commissioning Unit, the Project Team, Implementation Partner, and other stakeholders, as relevant, in a mission wrap-up or other format, as appropriate. The Commissioning Unit, where feasible, must debrief the GEF OFP at the end of the TE mission. A debriefing with key stakeholders at the end of the mission should also be organized in order to provide an opportunity to discuss preliminary findings and address any factual errors or misunderstandings before the TE team begins writing the evaluation report.

Summary of actions: Implementation Phase				
	Action	Timeframe	Responsible Party	Contributors
1	Handle logistics and planning of TE mission	During recruitment process and once TE team is recruited	M&E Focal Point at Commissioning Unit; Project Team	
2	Develop draft TE Inception Report and send to M&E Focal Point at Commissioning Unit	Immediately after briefing by Project Team and Commissioning Unit and review of project information package, as per agreed schedule	TE team	
3	Review draft TE Inception Report, send consolidated comments to TE team	Immediately upon receipt	M&E Focal Point at Commissioning Unit	Programme Officer at Commissioning Unit, RTA, Project Team, Regional M&E Advisor

4	Finalize TE Inception Report	As per agreed dates in ToR and no later than 2 weeks before start of TE mission	TE team	
5	Share final TE Inception Report with GEF OFP and relevant stakeholders	Once TE Inception Report is finalized	M&E Focal Point at Commissioning Unit	
6	Process first payment to TE team	Upon submission and approval of final TE Inception Report	M&E Focal Point at Commissioning Unit	
7	Undertake TE mission, interviews, site visits	As per agreed dates in ToR and TE Inception Report	TE team	
8	Present initial TE findings to Commissioning Unit, Project Team, Implementing Partner, other stakeholders	Typically, on last day of TE mission	TE team	
9	Debrief GEF OFP	After end of TE mission	Programme Officer at Commissioning Unit	

D) Post TE Mission Phase

The primary activities of the Post TE Mission Phase include the drafting, review and finalization of the TE report, preparation of the management response, implementation of follow-up actions, and a concluding stakeholder workshop (optional but highly recommended).

Draft TE Report

The TE team must submit the first draft of the TE report to the Commissioning Unit in accordance with the agreed deliverable timelines specified in the TE ToR, contract and TE Inception Report but no later than three weeks after the end of the TE mission.

The draft TE report must be logically structured; contain evidence-based findings, conclusions, lessons and recommendations; and be presented in a way that makes the information accessible and comprehensible. The report length should not exceed 50 pages (excluding annexes).

TE Report Review and Finalization Process

The Commissioning Unit is responsible for coordinating a review of the draft TE report. The Project Team, RTA, GEF OFP, and other key stakeholders must be given the opportunity to comment on the draft report and, if needed, provide additional information relevant to the TE team's assessment of results.

The review process can only provide comments on the following: factual errors, omissions of facts, errors in analysis, and to ensure that the TE report covers all requirements outlined in the ToR. As an independent body, the TE team has the prerogative to develop its own conclusions, ratings and recommendations. The Commissioning Unit, Project Team, Implementing Partner, RTA, or other key stakeholder must not interfere with or influence the evaluation process, ratings, findings or recommendations.

Box 3. Independence of Evaluations[23]

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project/programme being evaluated. Independence is one of ten general principles for evaluations (together with Internationally agreed principles, goals and targets; Utility; Credibility; Impartiality; Ethics; Transparency; Human rights and gender equality; National evaluation capacities; and Professionalism).

The M&E Focal Point in the Commissioning Unit collates comments on the report into an Audit Trail and sends the Audit Trail to the TE team. The TE Team is required to review each comment, indicate if they accept or reject each comment and provide brief explanations to support their responses. See Annex 5 for the Audit Trail template. The Commissioning Unit must closely monitor the review process so that the final TE report is completed as scheduled.

The completed Audit Trail must be submitted to the Commissioning Unit with the final TE report. In order to protect the rights and confidentiality of persons interviewed, any conclusions drawn from feedback from interviews should not be connected to the names of the interviewees in the Audit Trail nor in the TE report. Also, the "Author" column of the Audit Trail should show the commentator's institution or organization and not his/her name. The Audit Trail is kept as an internal document. It must be listed as an annex with a note that it is annexed as a separate file. The Audit Trail should not be attached to the TE report nor should it be posted as a separate file on the ERC.

The M&E Focal Point in the Commissioning Unit and the RTA must approve the final TE report and document their approval in a signed report clearance form; the report is not considered final without these required signatures. This approval signifies that the report has been satisfactorily completed and fulfills the criteria in the TE ToR. It does not necessarily signify agreement with the content. See Table 6 for the TE Report Clearance form template.

[23] Source: UNEG Norms and Standards http://www.unevaluation.org/document/detail/1914; UNDP Evaluation Policy http://web.undp.org/evaluation/policy.shtml

Table 6. TE Report Clearance Form

Terminal Evaluation Report for *(Project Title & UNDP PIMS ID)* **Reviewed and Cleared By:**
Commissioning Unit (M&E Focal Point)
Name: _____________________________________
Signature: __________________________________ Date: _________________________
Regional Technical Advisor (Nature, Climate and Energy)
Name: _____________________________________
Signature: __________________________________ Date: _________________________

As soon as the TE team fulfills the obligations outlined in the TE ToR, the Commissioning Unit must issue payment.

As the GEF Secretariat will only accept TE reports in English, the final TE report must be available English. If applicable, the Commissioning Unit must ensure the final report is available in a language widely shared by national stakeholders. Translations must be planned for in advance as this process can take between 4 and 6 weeks.

Management Response

While the draft TE report is being circulated for review, the Commissioning Unit can begin preparing the management response to the TE with input from the Project Team, RTA, and Implementing Partner.[24] The purpose of a TE management response is to outline how the Project Team, Implementing Partner, UNDP and other relevant stakeholders, respond to the recommendations presented in the TE report. The GEF OFP should be invited to contribute to and comment on the management response as well.

For each recommendation in the TE report, the management response should indicate whether the Project Team and stakeholders fully accept, partially accept or reject the recommendation and include justification for the acceptance/rejection.

- Fully accept: agrees entirely with all the recommendation and will seek actions to achieve the recommendation.
- Partially accept: agrees with elements of the recommendation. The management response should detail the elements with which it agrees with and those with which it disagrees and give reasons why parts of the recommendations are not valid.

[24] A management response template is available in Annex 4 of the UNDP Evaluation Guidelines

- Reject: management can reject a recommendation but needs to state why they reject the recommendation and why they will not follow up on the recommendation in the future (i.e., no key actions need to be included in addition to the response).

For recommendations that are fully or partially accepted, key follow-up actions need to be provided. It is important that key actions:

- clearly state the nature of the action and how it will address the recommendations.
- indicate the party (unit or organization) that is responsible for implementing the key action and who will be accountable for its implementation.
- are time-bound with clear deadlines and schedules for completion. Ideally, key actions should be completed within 18 months after evaluation's completion.
- be of a reasonable number to ensure implementation, tracking and oversight.

The Project Manager is required to discuss with the Project Board and agree on the main findings and recommendations of the TE, the management response, and key actions.

The M&E Focal Point in the Commissioning Unit is responsible for uploading the agreed management response into the ERC within six weeks of the TE report's completion. The Regional M&E Advisor then clears the posting before it becomes public.

The evaluation cycle is not considered complete until the TE report has been approved, translated into English (if needed), and posted to the ERC with a management response and the TOR. Supporting documentation can also be uploaded to the ERC.

After the TE process is completed, the M&E Focal Point at the Commissioning Unit will undertake a quarterly review of the management response's key actions and update the ERC accordingly. After all key actions have been completed the M&E Focal Point will close the actions in the management response.

Dispute settlement

Any disagreements with the TE findings should be documented in the Audit Trail and efforts made to come to an understanding based on the evidence provided by the TE team. If there continues to be a disagreement, it should be stated in the management response with supporting reasons for the disagreement. It is important to note that the Audit Trail is an internal document for UNDP, while the management response is publicly posted in the ERC. If there is a continued disagreement, then either the Commissioning Unit or the TE team can address the concerns with the Regional M&E Advisor, the RTA and the Nature, Climate and Energy Vertical Fund Directorate.

As stated earlier in this guidance, if intervention is needed regarding disputes between the TE team and Commissioning Unit on the quality of deliverables, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified so that a decision can be made regarding withholding payment of any amounts, suspending or terminating the contract and/or removing the evaluator(s) from any applicable rosters More details on contract dispute settlement can be found in the UNDP Individual Contract Policy.[25]

Concluding Stakeholder Workshop

Where budgets permit, it is highly recommended that the Commissioning Unit and Project Team close the TE process with a concluding stakeholder workshop. The purpose of the workshop is to discuss the key findings and recommendations of the TE report and the key actions that will be taken in response to the TE. Those involved in the TE process (including interviewees, project stakeholders, etc.) should be invited to participate in this concluding workshop. The TE team can be present, but this is not mandatory. This workshop is encouraged in order to relay TE findings to stakeholders and to increase accountability on the follow-up actions in the management response.

Quality Assessment (QA)

The UNDP IEO annually assesses the quality of all decentralized evaluations commissioned by UNDP - including TEs for GEF-financed projects - and reports the results to the UNDP Executive Board and in annual corporate reporting. The QA process involves assessing an evaluation's design, quality of its findings and evaluative evidence and the robustness of its conclusions and recommendations. It is a desk review, based on the TE report and supporting project documentation provided to the UNDP IEO.

Section 6 of the UNDP Evaluation Guidelines[26] outlines the QA process and questions that are used to determine an evaluation's quality rating. These questions should be shared by the Commissioning Unit with the TE team prior to the TE mission and can also be useful for UNDP staff to review, as they identify key issues and aspects of TEs that are viewed as especially important by the GEF IEO and UNDP IEO.

The QA of TEs for GEF-financed projects also includes the validation of ratings for certain project performance criteria – effectiveness, efficiency, relevance, sustainability, M&E, implementation & execution, and overall project performance. The quality ratings of GEF TEs and the validated project performance ratings are shared with the GEF IEO for their annual corporate reporting to the GEF Council.

Summary of actions: Post TE Mission Phase				
	Action	Timeframe	Responsible Party	Contributors
1	Submit draft TE report to M&E Focal Point at Commissioning Unit	As per agreed schedule and no later than 3 weeks after end of TE mission	TE team	

[25] Access at: https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

[26] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml

2	Process second payment to TE team	Upon receipt of draft TE report	M&E Focal Point at Commissioning Unit	
3	Review TE report and return consolidated comments in an Audit Trail to TE team	Immediately upon receipt of draft; return comments within agreed timeframe in ToR and TE Inception Report	M&E Focal Point at Commissioning Unit	Project Team, Programme Officer at Commissioning Unit, Implementing Partner, Project Team, RTA, GEF OFP, Regional M&E Advisor, other stakeholders, as relevant
4	Draft management response	While draft TE report is being circulated for comments	M&E Focal Point at Commissioning Unit	Project Team, Programme Officer at Commissioning Unit, RTA, Implementing Partner, GEF OFP
5	Finalize TE report and respond to each comment in Audit Trail; Submit both documents to Commissioning Unit	As per agreed dates in the ToR and TE Inception Report and no later than 1 week of receiving comments	TE team	
6	Approve final TE Report by signing TE Report Clearance form	No later than agreed expected completion date of TE	M&E Focal Point at Commissioning Unit; RTA	
7	Arrange for English translation of final TE report, if necessary	While draft TE report is circulated for comments so that translation can take place immediately after final TE report is approved	M&E Focal Point at Commissioning Unit	
8	Process final payment to TE team	Immediately after signatures on TE Report Clearance Form	M&E Focal Point at Commissioning Unit	
9	Upload approved TE report to ERC	Immediately after TE Report Clearance form is signed	M&E Focal Point at Commissioning Unit	

10	Clear uploaded TE report in ERC in order for it to publicly appear	As per schedule at Regional Hub	Regional M&E Advisor	
11	Brief Project Board on main findings and recommendations from TE report, and management response	Immediately after TE Report Clearance Form is signed	Project Team	
12	Organize concluding Stakeholder Workshop	After TE Report Clearance Form is signed	Commissioning Unit and Project Team	
13	Ensure final TE report is distributed to GEF OFP and other stakeholders	Within 4 months of TE report completion	M&E Focal Point & Programme Officer at Commissioning Unit	
14	Upload final management response to ERC	Within 6 weeks of TE report completion	M&E Focal Point at Commissioning Unit	
15	Clear uploaded management response in ERC in order for it to publicly appear	As per schedule at Regional Hub	Regional M&E Advisor	
16	Review management response's action items and update ERC accordingly	Quarterly until all actions are completed	M&E Focal Point at Commissioning Unit	
17	Quality assess TE	Annually (as part of exercise to quality assess all UNDP decentralized evaluations)	UNDP IEO	

3. Roles & Responsibilities

Before conducting a TE, the involved parties should come to an understanding of the evaluation objectives, the process for coordinating and conducting the evaluation, as well as roles and responsibilities for each evaluation phase. For a TE, the Commissioning Unit shoulders the main preparation and implementation responsibilities, including managing ToR development, team selection, report review process and management response preparation. Project Teams provide evaluators with project information and assist with logistics. The RTA plays an oversight and approval role. The UNDP IEO provides guidance and quality assessment.

3.1 Commissioning Unit Roles and Responsibilities

<table>
<tr><td colspan="2">Commissioning Unit's Main Objective: Overall coordination and management of the TE process, including procurement and contracting.</td></tr>
<tr><td colspan="2">To help ensure independence and avoid conflicts of interest, the TE process should be driven by an appointed Evaluation Manager, the M&E Focal Point/Officer/Specialist in the Commissioning Unit and not by programme or project staff who are involved in managing the project being evaluated. Programme and project staff will still provide input and be fully involved in the TE process.

If an M&E Focal Point is not available or in place in the Commissioning Unit then senior management must appoint an Evaluation Manager who is not involved in managing the project under evaluation.</td></tr>
<tr><td>Phase</td><td>Responsibilities</td></tr>
<tr><td>Pre-Evaluation</td><td>▪ Ensure that sufficient funds have been allocated for conducting the TE as per the M&E plan included in the UNDP-GEF Project Document. TE costs can include all or some of the following: fees for TE team, travel costs, venue hire, transportation costs, translation costs during mission (field visits, workshops, interviews, focus groups, workshops, etc.), translation costs of TE report if not originally written in English, editing and dissemination costs, if relevant
▪ If project is jointly implemented, ensure responsibilities between Agencies are clear
▪ Support the Project Team in preparation of GEF/LDCF/SCCF Core Indicators (or Tracking Tools); submission of Core Indicators to RTA to quality assure and clear
▪ Complete the standard TOR template, including draft questions for the Evaluation Criteria Matrix;
▪ Upload the TE ToR to the ERC within 2 weeks after it is finalized
▪ Advertise the ToR for minimum of 15 working days (3 weeks) or use vetted roster of evaluators; inform RTA
▪ Compile project information package, including co-financing data</td></tr>
<tr><td>TE Preparation</td><td>▪ Share CVs of long- and short-listed candidates with wider stakeholders and partners, including RTA and Project Team, who may have previously worked with the candidates and could help verify their competency as evaluators
▪ Select the TE team following UNDP procurement standards</td></tr>
</table>

	▪ Provide the TE team with the project information package and brief TE team ▪ Ensure RTA is included in list of interviewees ▪ Facilitate the finalization of the GEF/LDCF/SCCF Core Indicators (or Tracking Tools) ▪ Handle logistics of TE mission together with the Project Team
TE Implementation	▪ Review draft TE Inception Report, circulate it for comments and send consolidated comments to TE team ▪ Approve TE Inception Report and process first payment to TE team ▪ Share Inception Report with GEF OFP and relevant stakeholders ▪ Brief the GEF OFP at the start of the TE mission and debrief OFP at end of TE mission ▪ Assist in sending formal requests for interviews for the TE mission, as necessary ▪ Participate in wrap-up meeting in which the TE team presents initial findings
Post TE Mission	▪ Process second payment to TE team upon receipt of TE draft report ▪ Coordinate the TE draft report review; collect and consolidate comments from the RTA, Project Team, GEF OFP, and key stakeholders into the TE Audit Trail document ▪ Send draft TE report with consolidated comments in Audit Trail to the TE team ▪ Review final TE report, sign the TE clearance form (see Table 6), and send final report to RTA for his/her final approval and signature ▪ Make arrangements for translations of the final TE report into English, if necessary ▪ Work with the Project Team to prepare a management response (this can be started at the same time as the circulation of the draft TE report) ▪ Ensure RTA, GEF OFP, and Project Board reviews the management response (this can be done while the TE report is being finalized) ▪ Process third/final payment to the TE team upon approval of final TE report (via Commissioning Unit's and RTA signatures on the TE Report Clearance Form) and submission of completed Audit Trail ▪ Upload the approved TE report to the ERC immediately after TE Report Clearance form is signed, and within 2 weeks of report's completion ▪ Upload the final management response to the ERC within 6 weeks of the TE report's completion ▪ Brief Project Board on main findings and recommendations from TE report, and management response ▪ Organize the concluding stakeholder workshop ▪ Ensure that the final TE report is distributed to the GEF OFP and relevant stakeholders within 4 months of project completion. ▪ Review management response's action items quarterly and update ERC accordingly

3.2 Regional Technical Advisor (RTA) Roles and Responsibilities

RTA's Main Objective: Provide technical support to the TE process through quality assurance and approve the final TE report	
Phase	**Responsibilities**
Pre-Evaluation	▪ Comment on the draft TE ToR shared by the Commissioning Unit within 10 working days of receipt or within specified timeframe ▪ Quality assure draft terminal GEF/LDCF/SCCF Core Indicators (or Tracking Tools)
TE Preparation	▪ Participate in desk review and/or review of final shortlist of TE international consultant candidates, if requested by Commissioning Unit
TE Implementation	▪ Review draft TE Inception Report ▪ Be available for an interview with TE team
Post TE Mission	▪ Undertake a technical and quality assurance review of the draft TE report to look for factual errors, omissions of facts, errors in analysis, and to ensure that the TE report covers all requirements outlined in the ToR; provide comments to the Commissioning Unit and/or TE team within 10 working days of receipt or within specified timeframe ▪ Approve the final TE Report by signing the Report Clearance Form ▪ Contribute to draft management response

3.3 Regional Programme Associate (PA) Roles and Responsibilities

Regional PA's Main Objective: Support the TE process in procurement, review of the draft report, and follow up action	
Phase	**Responsibilities**
Pre-Evaluation	▪ Help ensure that the standard TOR template has been used. No other template will be accepted ▪ Post the final ToR in PIMS+ ▪ Work with the Commissioning Unit to ensure that the terminal GEF/LDCF/SCCF Core Indicators (or Tracking Tools) have been fully drafted and are sent to the RTA for quality review
TE Preparation	▪ Assist the Commissioning Unit with TE consultant(s) qualification review, if requested
TE Implementation	None
Post TE Mission	▪ Review draft TE report using the Report Content Review Checklist (Annex 7) to ensure that the report complies with the requirements laid out in the ToR; provide comments and the completed Checklist to the RTA within the specified timeframe ▪ Post the final TE report, Core Indicators (or Tracking Tools) and management response in PIMS+

3.4 Project Team Roles and Responsibilities

Project Team's Main Objective: Provide the TE team with project information and assist with TE logistics	
Phase	**Responsibilities**
Pre-Evaluation	▪ Draft questions for the Evaluation Criteria Matrix to be annexed to the TE ToR ▪ Prepare terminal GEF/LDCF/SCCF Core Indicators (or Tracking Tools) ▪ Contribute to compilation of project information package
TE Preparation	▪ Provide input to long- and short-listed candidates, if requested by Commissioning Unit ▪ Contribute to briefing of TE team ▪ Assist with TE mission preparation (ensure stakeholders are informed with sufficient notice, etc.) together with Commissioning Unit ▪ Finalize terminal GEF/LDCF/SCCF Core Indicators (or Tracking Tools), after review by RTA
TE Implementation	▪ Handle logistics of TE mission together with Commissioning Unit ▪ Review draft TE Inception Report ▪ Support arrangement of TE interviews, if requested ▪ Participate in meeting in which the TE team presents initial findings
Post TE Mission	▪ Review draft TE report; look for inaccuracies, and provide comments to the Commissioning Unit and/or TE team ▪ Contribute to draft management response together with the Commissioning Unit, and obtain input/feedback from the RTA ▪ Brief the Project Board on the main findings and recommendations of the TE report; ensure that the management response actions are discussed and agreed with the Project Board ▪ Participate in optional concluding stakeholder workshop

3.5 TE Team Roles and Responsibilities

TE Team's Main Objective: Uphold contractual obligations outlined in the TE ToR	
Phase	**Responsibilities**
Pre-Evaluation	None
TE Preparation	▪ Sign UNEG Code of Conduct for Evaluators form upon acceptance of TE assignment (see Annex 4) ▪ Review evaluation ethics and ensure steps to protect the rights and confidentiality of persons interviewed for the TE ▪ Review the TE guidance, and other relevant UNDP and/or GEF guidance including Section 6 of the UNDP Evaluation Guidelines[27] which details the UNDP IEO's evaluation quality assessment process

[27] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml

	▪ Review project information package, including GEF/LDCF/SCCF Core indicators from PIF, CEO Endorsement, midterm and terminal stages (or Tracking Tools) ▪ Work with the Project Team and Commissioning Unit to ensure appropriate timing of the TE mission
TE Implementation	▪ Prepare draft TE Inception Report, including a detailed plan of the mission with an interview schedule, and provide it to the Commissioning Unit, as per agreed schedule but no later than 2 weeks before the TE mission ▪ Finalize TE Inception after receiving comments ▪ Conduct the TE mission (site visits, interviews, data collection, etc.) ▪ Present and discuss initial TE findings to Project Team, Commissioning Unit, and relevant stakeholders, typically on last day of TE mission
Post TE Mission	▪ Submit draft TE report to the Commissioning Unit, as per agreed schedule, and no later than 3 weeks after the end of TE mission ▪ After receiving initial comments on the draft TE report via an Audit Trail, revise the TE report, provide responses to each comment within the Audit Trail; send final TE report with completed Audit Trail to the Commissioning Unit within 1 week of receiving comments or as per agreed timeframe

3.6 GEF Operational Focal Point Roles and Responsibilities

GEF OFP's Main Objective: Keep all national stakeholders (particularly the CSOs) involved in and fully informed on the Terminal Evaluation Process	
Phase	**Responsibilities**
Pre-Evaluation	None
TE Preparation	None
TE Implementation	▪ Receive briefings from Commissioning Unit at start and end of TE mission ▪ Participate in TE mission wrap-up meeting, as appropriate
Post TE Mission	▪ Review and provide comments to draft TE report ▪ Contribute to the draft management response ▪ Participate in optional concluding stakeholder workshop ▪ Implement management response actions, where relevant

3.7 Project Board Roles and Responsibilities

Project Board's Main Objective: Work with the Commissioning Unit in creating the management response, approve management response, and commit to take action on the management response directives	
Phase	**Responsibilities**
Pre-Evaluation	None
TE Preparation	None
TE Implementation	▪ Be available for an interview with TE team before/during the TE mission
Post TE Mission	▪ Review the management response ▪ Participate in optional concluding stakeholder workshop ▪ Implement management response actions, where relevant

3.8 Regional Bureau M&E Advisor

Regional Bureau M&E Advisor's Main Objective: Give technical advice throughout the evaluation implementation process, especially where there are no M&E Focal Points within a Commissioning Unit; play an oversight role in the development and approval of a Commissioning Unit's Evaluation Plan and oversee its implementation.	
Phase	**Responsibilities**
Pre-Evaluation	▪ Review ToR against standard template, if requested ▪ Clear ERC posting of ToR by Commissioning Unit
TE Preparation	▪ Provide technical support to Commissioning Unit, including advice on the recruitment of evaluators and access to vetted rosters
TE Implementation	▪ Provide technical support to Commissioning Units on implementation of evaluations; and finalization of evaluations, management responses and key actions ▪ Support the evaluation process and ensure compliance with corporate standards ▪ Oversee and support evaluation planning and the uploading, implementation and adjustment of evaluation plans in ERC
Post TE Mission	▪ Ensure management response tracking through ERC and support M&E capacity development and knowledge-sharing ▪ Clear all ERC postings (TE report, management response) by Commissioning Units ▪ Support dispute resolution when issues arise in implementation of evaluations

3.9 Vertical Fund Directorate in Nature, Climate and Energy team

Vertical Fund Directorate's Main Objective: Develops guidance and provides support on the specific requirements for evaluations of GEF-financed projects and the entire TE process; quality assures TE-related documents (ToR, Inception Report, TE report) when requested; acts as Commissioning Unit for TEs if requested.	
Phase	**Responsibilities**
Pre-Evaluation	▪ Answer questions and provide guidance on TE process and GEF-specific requirements
TE Preparation	▪ Provide input on past performance of long- and/or short-listed candidates, if requested by Commissioning Unit
TE Implementation	▪ Support Commissioning Unit and RTA during TE process, as needed
Post TE Mission	▪ Support dispute resolution when issues arise in implementation of evaluations

4. Terminal Evaluation Report Content

This chapter provides further details on the key issues to be addressed in the TE report. This information is provided as a tool for evaluators, as well as a guide for Commissioning Units to assess the quality and completeness of TE reports. All TE reports must cover the same required content, must be written in a concise and focused manner, and should be no longer than 50 pages (without annexes).

4.1 Executive Summary

A concise Executive Summary (maximum 4 pages) should precede the Introduction section of the TE report and must include:

- a Project Information Table (Table 7);
- a brief description of the project;
- a completed Evaluation Ratings Table (Table 8) using the specified rating scales (Table 9);
- a concise summary of findings and conclusions
- synthesis of the key lessons learned (bullet points; one-page maximum);
- a Recommendations Summary Table. (Table 10).

Table 7. Project Information Table

The Commissioning Unit must complete this table and share it with the TE team

Project Details		Project Milestones	
Project Title		PIF Approval Date:	
UNDP Project ID (PIMS #):		CEO Endorsement Date (FSP) / Approval date (MSP):	
GEF Project ID:		ProDoc Signature Date:	
UNDP Atlas Business Unit, Award ID, Project ID:		Date Project Manager hired:	
Country/Countries:		Inception Workshop Date:	
Region:		Mid-Term Review Completion Date:	*[if applicable]*
Focal Area:		Terminal Evaluation Completion date:	
GEF Operational Programme or Strategic Priorities/Objectives:		Planned Operational Closure Date:	
Trust Fund:	*[indicate GEF TF, LDCF, SCCF, NPIF]*		
Implementing Partner (GEF Executing Entity):			
NGOs/CBOs involvement:	*[Indicate as: Lead executing agency; one of the beneficiaries; through consultation]*		
Private sector involvement:	*[Indicate as: Lead executing agency; one of the beneficiaries; through consultations]*		
Geospatial coordinates of project sites:	*[Coordinates are available in the annual PIRs]*		

Financial Information		
PDF/PPG	at approval (US$M)	at PDF/PPG completion (US$M)
GEF PDF/PPG grants for project preparation		
Co-financing for project preparation		
Project	at CEO Endorsement (US$M)	at TE (US$M)
[1] UNDP contribution:		
[2] Government:		
[3] Other multi-/bi-laterals:		
[4] Private Sector:		
[5] NGOs:		
[6] Total co-financing [1 + 2 + 3 + 4 + 5]:		
[7] Total GEF funding:		
[8] Total Project Funding [6 + 7]		

Table 8. Evaluation Ratings Table

1. Monitoring & Evaluation (M&E)	Rating
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
2. Implementing Agency (IA) Implementation & Executing Agency (EA) Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
3. Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	
4. Sustainability	Rating
Financial sustainability	
Socio-political sustainability	
Institutional framework and governance sustainability	
Environmental sustainability	
Overall Likelihood of Sustainability	

The Evaluation Ratings Table consolidates individual ratings undertaken in a number of areas within the main TE report, as detailed in the TE report's 'Section 4. Findings'. The rating scales used in a TE report are described in Table 9.

Table 9. TE Rating Scales

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

Table 10. Recommendations Table

Rec #	TE Recommendation	Entity Responsible	Time frame
A	Category 1:		
A.1	*Key recommendation:*		
A.2			
A.3			
B	Category 2:		
B.1	*Key recommendation:*		
B.2			
B.3			
C	Category 3:		
C.1	*Key recommendation:*		
C.2			
C.3			
D	Category 4:		
D.1	*Key recommendation:*		
D.2			
D.3			
E	Category 5:		
E.1	*Key recommendation:*		
E.2			

4.2 Introduction

The introductory section of the TE report outlines the TE's purpose and objectives, the scope of the TE, and the TE process. It explains the approach and methodology – including data collection methods – making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review. Some of this information will have been provided in the TE Inception Report. The Introduction identifies the primary audience and users of the evaluation and how they are expected to use the evaluation results. This section should cover 2-3 pages (maximum) and include the following sections.

A) Evaluation Purpose

The start of the TE report must explain the purpose of the evaluation and why it is being carried out at this point in time.

B) Scope of the Evaluation

The TE report must define the parameters and focus of the evaluation, including the time period being evaluated, segments of the target beneficiaries included, geographic area included, and which components were assessed.

C) Methodology

The TE report will describe the selected methodological approaches; 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.

D) Data Collection and Analysis

The TE report must include a section that articulates how data has been collected and analysed. This includes the sources of information (documents, stakeholders, beneficiaries, etc.), the rationale for their selection and how the information obtained addressed the questions in the Evaluation Criteria Matrix (Table 3). Lists of documents reviewed and persons interviewed should be annexed to the report.

For a summary of common data collection methods and sources, please see Annex 2 of the UNDP Evaluation Guidelines.[28]

In order to ensure maximum validity and reliability of data, the TE team must ensure triangulation of the various data sources and describe in the TE report the methods used for triangulation.

The Evaluation Criteria Matrix which is provided with the TE Inception Report and final TE report, clarifies how the TE team planned to collect the data. The matrix details the evaluation questions that need to

[28] Access at: http://web.undp.org/evaluation/guideline/index.shtml

be answered in order to determine project results and identifies where the information is expected to come from, (i.e. documents, questionnaires, interviews, and site visits).

The Commissioning Unit, with input from the Project Team, must complete the matrix with draft questions before the TE ToR is advertised. Once recruited, the TE team will fully complete/amend the questions and will include the final matrix in the TE Inception Report and TE report. Note that the Evaluation Criteria Matrix must always include questions that address how gender equality and the empowerment of women have been integrated into the design, planning and implementation of the project and the results achieved, as relevant.

E) Ethics

Evaluators will be held to the highest ethical standards and are required to sign a code of conduct upon acceptance of the assignment. TE reports must state that the evaluation was conducted in accordance with the principles outlined in the United Nations Evaluation Group (UNEG) 'Ethical Guidelines for Evaluations'.[29]

Box 4. Evaluation Ethics

UNDP and the GEF take seriously the importance of having competent, fair and independent evaluators carry out MTRs and TEs. Assessments must be independent, impartial and rigorous, and the evaluators hired to undertake these assessments must have personal and professional integrity, and be guided by propriety in the conduct of their business. The TE ToR should explicitly state that TEs of UNDP-supported GEF-financed projects are conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation' and the GEF and UNDP M&E policies.

Evaluation ethics also concern the way in which evaluations are carried out, including the steps the TE team must take to protect the rights and confidentiality of persons interviewed. The TE team must clarify to all stakeholders interviewed that their feedback and input will be confidential. The final TE report must not indicate the specific source of quotations or qualitative data in order to uphold this confidentiality. A signed Code of Conduct form must be attached to each TE team member's contract indicating that the team member agrees to the ethical expectations set out in Annex 4.

F) Limitations

The TE report must describe any limitations encountered by the TE team during the evaluation process, including limitations of the methodology, data collection methods, and any potential influence of limitation on how findings may be interpreted, and conclusions drawn. Limitations include, among others: language barriers, inaccessible project sites, issues with access to data or verification of data sources, issues with availability of interviewees, methodological limitations to collecting more extensive

[29] Access at: http://www.unevaluation.org/document/detail/100

or more representative qualitative or quantitative evaluation data, deviations from planned data collection and analysis set out in the ToR and Inception Report, etc. Efforts made to mitigate the limitations must also be included in the TE report.

4.3 Project Description

This section must provide background information on the project being evaluated. It should be focused and concise (3-6 pages maximum), highlighting only those issues most pertinent to the evaluation. Much of the information for this section can be accessed from the Project Identification Form (PIF) that was developed to secure GEF Council approval, the CEO Endorsement Request, and the project document. In particular, attention should be paid to 'Part II: Project Justification' in the PIF and CEO Endorsement Request, which describes the project's expected global environmental benefits, consistency with national priorities, contributions to gender equality and women's empowerment, coordination with other initiatives, risks to successful project completion, barriers to be addressed, stakeholder involvement, potential for scaling up, among other aspects.[30]

Additional background and context information to include:

- **Project start and duration**, including project cycle milestones.
- **Development context**: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope: Significant socio-economic and environmental changes since the beginning of project implementation and any other major external contributing factors.
- **Problems that the project sought to address**: How the project objectives fit into the partner government's strategies and priorities; GEF and UNDP priorities and programming; and how they are linked to relevant Sustainable Development Goals (SDG) targets/indicators
- **Immediate and development objectives** of the project
- **Description of the project's Theory of Change** including description of the outputs, outcomes, intermediate states, and intended long-term environmental impacts of the project; the causal pathways for the long-term impacts; and, implicit and explicit assumptions. The project's objective(s) should also be included within the theory of change. Where appropriate, after consultations with project stakeholders, the TE team may refine the theory of change.
    - Where an explicit theory of change is not provided for the project, the TE team should develop one based on information provided in the project documentation and through consultations with stakeholders.
- **Expected results**
- **Total resources** that have been identified for the project, including approved grant financing from the GEF Trust Fund (GEF TF), Least Developed Countries Fund (LDCF) or Special Climate Change Fund (SCCF) and expected co-financing from other sources
- Summary of **main stakeholders** involved in implementation and their roles
- **Key partners involved in the project**, including UNDP, other joint implementing partners, executing agencies, country counterparts – including the GEF Operational Focal Point – and other key stakeholders

[30] GEF Project Identification Form, March 2019. GEF CEO Endorsement Request, August 2018.

- How this evaluation fits within the **context of other ongoing and previous evaluations**, for example if a Mid-Term Review was also carried out for the project, or if another implementing partner has evaluated this or a closely linked project

In instances where geo-referenced maps were included in a project's proposal and annexes, and where feasible and appropriate, the TE report should include geo-referenced maps and/or coordinates that demarcate the planned and actual area covered by the project. Also, where feasible, the TE report should include geo-referenced photos of the sites where GEF-supported interventions were undertaken.

4.4 Findings

The findings of the TE report are to be presented as statements of fact based on analysis of the evidence and 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 must be explained, as well as factors affecting the achievement of intended results. Evidence must be provided to support all findings in the TE report.

With respect to the findings discussion, it is suggested that the TE report elaborate on the following general areas: project design/formulation, project implementation, and project results and progress to impacts.

Guiding questions to be addressed are shown in shaded boxes in this section. These questions serve as examples and suggestions and should be adjusted by the Commissioning Units and TE teams, as needed, for each evaluation.

Several elements of this section will require a rating using the rating systems that are described. The TE ratings must be summarized in an Evaluation Ratings Table (see Table 8) in the TE report's Executive Summary. Those elements requiring a rating in addition to a descriptive analysis are marked with an asterisk (*) below.

A) Project Design/Formulation

The TE team must undertake an assessment of the project design, as outlined in the Project Document in order to identify whether the design was effective in helping the project reach expected results, especially if an MTR was not required. Questions on elements of the project design that should be addressed include, but are not limited to, the following:

Analysis of Results Framework: project logic and strategy, indicators

- How were the project's objectives and components clear, practicable and feasible within its time frame? Was the project designed to address country priorities and be country-driven?
- How were outcomes and outputs consistent with the Theory of Change?
    - Was there a clearly defined and robust Theory of Change? Did the Theory of Change include: a clear definition of the problem to be addressed and its root causes, desired outcomes, an analysis of barriers to and enablers for achieving outcomes, consideration of how to address barriers, a plan for a phased withdrawal of the project, and responses for the project to focus on? (As stated earlier in this guidance, where an explicit theory of

change is not provided for the project, the TE team should develop one based on information provided in the project documentation and through consultations with stakeholders.)

- How was the Results Framework defined? (If the Results Framework was revised – for example, during the project's Inception Workshop or as a result of MTR recommendations – the TE report should assess the approved version but also whether the revisions to the results framework were sound and made sense given the context of the project.)
- How did the project aim to capture broader development impacts (i.e. income generation, gender equality and women's empowerment, improved governance, livelihood benefits, etc.) by using socioeconomic co-benefits and sex-disaggregated/gender-responsive indicators and targets, where relevant?
- How were the indicators in the Results Framework SMART (Specific, Measurable, Attributable, Relevant, Time-bound/Timely/Trackable/Targeted)?

Assumptions and Risks

- How were the assumptions and risks well-articulated in the PIF and project document?
- How were the stated assumptions and risks logical and robust, and did they help to determine activities and planned outputs?
- How were any externalities (i.e. effects of climate change, global economic crisis, etc.) relevant to the findings?

Lessons from other relevant projects (e.g. same focal area) incorporated into project design

- How were lessons from other relevant projects properly incorporated in the project design?

Planned stakeholder participation

- How were 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 during project design processes?
- What were the planned stakeholder interactions, as set out in the project document Stakeholder Engagement Plan?
- How were the partnership arrangements properly identified and roles and responsibilities negotiated prior to project approval?

Linkages between project and other interventions within the sector

- Were linkages established with other complementary interventions? Was there planned coordination with other relevant GEF-financed projects and/or other initiatives?

Gender responsiveness of project design

The TE report must assess the gender responsiveness of project design and development. If no gender analysis was completed for a project, the TE team is still responsible for integrating a gender analysis and lens throughout the evaluation process and in interpretation of results and recommendations.

Gender issues should have been integrated into the PIF and project document, as appropriate, including the strategy and rationale behind the project, the theory of change, the stakeholder engagement plan and the results framework.

- How were gender considerations integrated in the project's design, including through a gender analysis with the specific context of the project for advancing gender equality and women's empowerment and a gender action plan with a specific implementation plan for the delivery of gender activities, with indicators, targets, budget, timeframe and responsible party?
- How was the project aligned with national policies and strategies on gender equality?
- How were gender issues integrated in the project's strategy, rationale and theory of change, including how advancing gender equality and women's empowerment will advance the project's environmental outcomes? Identify any gaps in integrating or addressing gender issues in these areas.
- What gender expertise was used in the design and development of the project? Was it adequate? This could be in the form of external consultant and/or internal UNDP capacity. Identify any gaps in gender expertise.
- How was the UNDP Gender Marker rating assigned to the project document realistic and backed by the findings of the gender analysis?

Social and Environmental Safeguards

- Assess any environmental and social risks as identified through the SESP in line with UNDP Social and Environmental Standards[31] and the management measures outlined in the Project Document SESP and any management plans.

B) Project Implementation

The TE team will assess project implementation and will also critically review adaptive management, project finance and co-finance, monitoring & evaluation, and implementation & execution.

Adaptive Management

The TE team should take note whether there were changes made to the project design during implementation, why these changes were made and what the approval process was. Questions to address include:

- What significant changes did the project undergo as a result of recommendations from the Mid-Term Review, or as a result of other review procedures? Explain the process and implications. (Consider presenting the MTR recommendations, management responses to the recommendations, and TE team comments in a table format.)

[31] Access at: https://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html

- If the changes were extensive, how did they materially change the expected project outcomes?
- Were the project changes articulated in writing and then considered and approved by the Project Board?

Actual stakeholder participation and partnership arrangements

Analysis of the project's stakeholder engagement should have a strong cross-cutting presence throughout the TE report. The TE report should also cover stakeholder engagement with regards to the following:

- Project management:
  - How did the project develop and leverage the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes:
  - How did local and national government stakeholders support the objectives of the project? How did they have an active role in project decision-making that supported efficient and effective project implementation?
- Participation and public awareness:
  - How did stakeholder involvement and public awareness contribute to the progress towards achievement of project objectives? Were there any limitations to stakeholder awareness of project outcomes or to stakeholder participation in project activities? Was there invested interest of stakeholders in the project's long-term success and sustainability?
- Extent of stakeholder interaction:
  - How did actual stakeholder interaction compare to what was planned in the project document and Stakeholder Engagement Plan? Include challenges and outcomes on stakeholder engagement, as evolved from the time of the MTR.
- Gender:
  - How appropriate and adaptive was the gender action plan in facilitating gender mainstreaming objectives.
  - How were women's groups, NGOs, civil society orgs and women's ministries adequately consulted and involved in project design? If not, should they have been?
  - How were stakeholder engagement exercises gender responsive?
  - For any stakeholder workshops, were women-only sessions held, if appropriate, and/or were other considerations made to ensure women's meaningful participation?
  - During implementation what systematic and appropriate efforts were made to include diverse groups of stakeholders (e.g. women's groups)?

Project Finance and Co-finance

When considering the effectiveness of financial planning, the TE team should consider the following for assessing project finance:

- Variances between planned and actual expenditures, and the reasons for those variances
- Identification of potential sources of co-financing as well as leveraged and associated financing;

- Whether strong financial controls were established to allow the project management to make informed decisions regarding the budget at any time, and allow for the timely flow of funds and for the payment of satisfactory project deliverables;
- Whether the project demonstrated due diligence in the management of funds, including periodic audits
- Observations from financial audits, if any, and a presentation of major findings from audits
- Any changes made to fund allocations as a result of budget revisions and the appropriateness and relevance of such revisions

With regards to co-finance, the TE report should include two tables (Tables 11 and 12) that reflect planned co-financing and actual co-financing commitments, the type and source of the co-financing contributions and indicate whether each type of contribution is considered to be 'investment mobilized' or 'recurrent expenditures'. Both tables must be fully completed and included in the final TE report.

The TE team should request assistance from the Project Team and Commissioning Unit to complete the co-financing tables and follow up through interviews to substantiate the co-financing figures. The TE report must briefly describe the resources the project has leveraged since inception and indicate how these resources contributed to the project's ultimate objective. The TE team should determine:

- Whether there was sufficient clarity in the reported co-financing to substantiate in-kind and cash co-financing from all listed sources;
- Reasons for differences in the level of expected and actual co-financing;
- Extent to which project components supported by external funders was well integrated into the overall project;
- 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.

Table 11. Co-Financing Table

Co-financing (type/source)	UNDP financing (US$m)		Government (US$m)		Partner Agency (US$m)		Total (US$m)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
In-kind support								
Other								
Totals								

Table 12. Confirmed Sources of Co-Financing at TE Stage

Sources of Co-Financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (US$)
Select one: • *GEF Agency* • *Donor Agency* • *Recipient Country Gov't* • *Private Sector* • *Civil Society Organization* • *Beneficiaries* • *Other*		*Select one:* • *Grant* • *Loan* • *Equity Investment* • *Public Investment* • *Guarantee* • *In-Kind* • *Other*	*Select one:* • *Investment mobilized** • *Recurrent expenditure***	
Total Co-Financing				

**Investment Mobilized means Co-Financing that excludes recurrent expenditures (Different governments, companies and organizations may use different terms to refer to "recurrent expenditures", such as "current expenditures" or "operational/ operating expenditures".)[32]*

***Recurrent expenditures can generally be understood as routine budgetary expenditures that fund the year-to-year core operations of the entity (they are often referred to as 'running costs' - they do not result in the creation or acquisition of fixed assets). They would include wages, salaries and supplements for core staff; purchases of goods and services required for core operations; and/or depreciation expenses. Some of the typical government co-financing we have previously included (such as routine budgetary expenses for Ministry of Environment operations) will no longer meet this new definition of investment mobilized for these specific countries.[33]*

Monitoring & Evaluation: design at entry (*), implementation (*), overall assessment of M&E (*)

The TE report must include an M&E assessment and associated ratings. Suggested areas to assess include the following:

- M&E design at entry:
  - Was the M&E plan well-conceived, practical and sufficient at the point of CEO Endorsement? Was it articulated sufficiently to monitor results and track progress toward achieving objectives?
  - Did the M&E plan include a baseline, SMART[34] indicators and data analysis systems, and evaluation studies at specific times to assess results?

[32] GEF Guidelines on Co-financing and Policy on Co-financing https://www.thegef.org/documents/co-financing

[33] ibid

[34] Specific, Measurable, Attributable, Relevant, Time-bound/Timely/Trackable/Targeted

- Were baseline conditions, methodology, logistics, time frames, and roles and responsibilities well-articulated?
    - Was the M&E budget in the project document sufficient?
    - Did the M&E plan specify how the project will keep the GEF OFP informed and, where applicable and feasible, involved, while respecting the independent nature of the TE process?
- M&E implementation:
    - Was the M&E plan sufficiently budgeted and funded during project preparation and implementation?
    - Was data on specified indicators, relevant GEF/LDCF/SCCF Tracking Tools/Core Indicators gathered in a systematic manner?
    - Extent of compliance with progress and financial reporting requirements, including quality and timeliness of reports;
    - Value and effectiveness of the monitoring reports and evidence that these were discussed with stakeholders and project staff;
    - Extent to which the GEF OFP was kept informed of M&E activities; and extent to which the Project Team used inclusive, innovative, and participatory monitoring systems[35];
    - Extent to which information provided by the M&E system was used to improve and adapt project performance;
    - Whether the M&E system included proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure
    - How were perspectives of women and men involved and affected by the project monitored and assessed? How were relevant groups' (including women, indigenous peoples, children, elderly, disabled, and poor) involvement with the project and the impact on them monitored?
    - Was there adequate monitoring of environmental and social risks as identified through the UNDP SESP and in line with any safeguards management plan's M&E section?
    - Whether the projects' Theory of Change was reviewed and refined during implementation
    - Whether PIR self-evaluation ratings were consistent with MTR and TE findings. If not, were these discrepancies identified by the Project Board and addressed?
    - TEs for FSPs should also consider whether changes were made to project implementation as a result of the MTR recommendations.
    - Extent of the Project Board's role in M&E activities

[35] For more ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, November 2013.

M&E Design, M&E Implementation and the overall quality of M&E will be assessed separately on a six-point scale, as described in Table 13.

Monitoring & Evaluation (M&E)	Rating
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	

Table 13. Monitoring & Evaluation Ratings Scale

Rating	Description
6 = Highly Satisfactory (HS)	There were no short comings; quality of M&E design/implementation exceeded expectations
5 = Satisfactory (S)	There were minor shortcomings; quality of M&E design/implementation met expectations
4 = Moderately Satisfactory (MS)	There were moderate shortcomings; quality of M&E design/implementation more or less met expectations
3 = Moderately Unsatisfactory (MU)	There were significant shortcomings; quality of M&E design/implementation was somewhat lower than expected
2 = Unsatisfactory (U)	There were major shortcomings; quality of M&E design/implementation was substantially lower than expected
1 = Highly Unsatisfactory (HU)	There were severe shortcomings in M&E design/implementation
Unable to Assess (UA)	The available information does not allow an assessment of the quality of M&E design/implementation.

UNDP implementation/oversight (*), Implementing Partner execution (*) and overall assessment of implementation/oversight and execution (*)

The TE team must assess and rate the quality of UNDP implementation/oversight of the project. The assessment should be established through consideration of the following issues:

- Extent to which UNDP delivered effectively on activities related to project identification, concept preparation, appraisal, preparation of detailed proposal, approval and start-up, oversight, supervision, completion and evaluation. This includes but is not limited to:
    - Adequacy, quality and timeliness of UNDP support to the Implementing Partner and Project Team
    - Candor and realism in annual reporting
    - Quality of risk management
    - Responsiveness to significant implementation problems (if any)
    - Adequate oversight of the management of environmental and social risks as identified through the UNDP SESP.

The TE team must also assess and rate the quality of execution by the Implementing Partner by considering the following issues:

- Extent to which the Implementing Partner effectively managed and administered the project's day-to-day activities under the overall oversight and supervision of UNDP. This includes but is not limited to the following:
    - Whether there was an appropriate focus on results and timeliness
    - Appropriate use of funds, procurement and contracting of goods and services
    - Quality of risk management
    - Candor and realism in annual reporting
    - Adequate management of environmental and social risks as identified through the UNDP SESP and implementation of associated safeguards requirements (assessments, management plans; if any).

UNDP implementation/oversight and Implementing Partner execution and an overall rating for both will each be rated separately and assessed on a six-point scale, as described in Table 14.

UNDP Implementation/Oversight & Implementing Partner Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Oversight and Execution	

Table 14. Implementation/Oversight and Execution Ratings Scale

Rating	Description
6 = Highly Satisfactory (HS)	There were no shortcomings; quality of implementation/execution exceeded expectations
5 = Satisfactory (S)	There were no or minor shortcomings; quality of implementation/execution met expectations.
4 = Moderately Satisfactory (MS)	There were some shortcomings; quality of implementation/execution more or less met expectations.
3 = Moderately Unsatisfactory (MU)	There were significant shortcomings; quality of implementation/execution was somewhat lower than expected
2 = Unsatisfactory (U)	There were major shortcomings; quality of implementation/execution was substantially lower than expected
1 = Highly Unsatisfactory (HU)	There were severe shortcomings in quality of implementation/execution
Unable to Assess (UA)	The available information does not allow an assessment of the quality of implementation and execution

Risk Management

The TE report must include an assessment of the extent to which risks, in terms of both threats and opportunities, were properly identified during project implementation and what systems, plans and actions were used to manage them.

The TE report must discuss any social, environmental, financial, operational, organizational, political, regulatory, strategic, safety and security and other risks that emerged or evolved during project implementation.

- Were new risks or changes to existing risks reported on in the annual PIRs and/or MTR (if applicable)?
    - How did those risks affect project implementation?
    - What systems and tools were used to identify, prioritize, monitor and manage those risks? Were action plans developed and followed? Was escalation necessary?
- Were any risks overlooked and what were the consequences of that?
- Was the project's risk register properly maintained during implementation?
- Did the Project Team keep the Project Board informed of new risks, changes to existing risks and the escalation of risks?

The roles of the UNDP CO, Project Board, Project Team and all other project partners/stakeholders should be considered and discussed, as appropriate, in this analysis. Lessons learned from the project's management of risks are also important to document in the TE report (in the appropriate chapter).

Please refer to the UNDP Enterprise Risk Management (ERM) Policy[36] for further details on UNDP's approach to risk management.

Social and Environmental Standards

UNDP's Social and Environmental Standards (SES)[37] are an integral part of UNDP's quality assurance and risk management approach to programming. The SES require that all UNDP programming maximizes social and environmental opportunities and benefits as well as ensures that adverse social and environmental risks and impacts are avoided, minimized, mitigated and managed. The implementation of a project's "safeguards" measures can therefore have significant bearing on its results overall.

The TE report will assess the project's environmental and social safeguards measures, including those related to gender (discussed in the Gender section). This is in line with the GEF's Updated Policy on Environmental and Social Safeguards[38] which requires all GEF Agencies (i.e. UNDP) to provide information on the implementation of relevant environmental and social management measures at project completion. This requirement applies to all TE reports submitted on or after 1 July 2020.

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[36] Access at: https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=431&Menu=BusinessUnit&Beta=0

[37] Access at: https://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html

[39] Access at: https://www.thegef.org/council-meeting-documents/updated-policy-environmental-and-social-safeguards

For GEF-financed projects, this mandatory assessment within the TE report must be prepared in terms of UNDP's SES. It must consider the project's SESP at CEO Endorsement stage and any subsequent screenings during implementation – as well as safeguards assessments and/or management plans prepared and implemented at any stage during the project cycle. The project's grievance redress mechanism (GRM), if any, should also be evaluated.

Specifically, the TE team must cover the following points in the TE report:

- An analysis of the implementation of the safeguards management measures (for example: ESMP, Indigenous Peoples Plan), as outlined in the SESP submitted at CEO Endorsement and/or prepared during implementation. (For projects without management plans, refer to Question 6 in the SESP template.)
- Findings on the effectiveness of those safeguards management measures and any lessons learned.
- Description of revisions to the original (CEO Endorsement-stage) SESP, if applicable. Specifically, what new risks were identified during implementation (if any)? Were existing risks' ratings (Low, Moderate, Substantial and High) changed; how? Were the revisions appropriate given the context of the project at the time? Were they done in a timely manner? How were management measures adjusted, if at all?
    - The following table could be used in the TE report:

Original Risk (in ProDoc)	Revised Risk	Original Rating (I/L & Significance)	Revised Rating (I/L & Significance)	TE Findings on the revision

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

If any potential issues related to the project's compliance with UNDP's SES come to the attention of the TE team, then the team is obligated to inform UNDP (Commissioning Unit).

Box 5. UNDP's Social and Environmental Standards[39]

UNDP's Social and Environmental Standards (SES) underpin UNDP's commitment to mainstream social and environmental sustainability in its Programmes and Projects to support sustainable development. The SES strengthen UNDP's efforts to attain socially and environmentally beneficial development outcomes and present an integrated framework for achieving a consistent level of quality in UNDP's programming.

The SES require that all UNDP Programmes and Projects enhance positive social and environmental opportunities and benefits as well as ensure that adverse social and environmental risks and impacts are avoided, minimized, mitigated and managed. The SES do not define the substantive development outcomes and results orientation of UNDP's programming, as this is elaborated in UNDP's Strategic Plan and in relevant Programme and Project documents.

From 2012 through 2014, UNDP had an interim safeguards policy, with an "ESSP" template. The SES policy was then launched in January 2015. In 2019, the SES policy was updated, in part to ensure alignment with the GEF's new safeguards policy; that updated SES will go into effect in 2020. See the SES Toolkit for more information.

C) Project Results and Impacts

In addition to assessing project progress against its objectives and expected outcomes as outlined in the results framework, the TE report must include an assessment of results as measured by broader aspects such as: relevance, effectiveness, efficiency, country ownership, gender equality and other cross-cutting issues, sustainability, catalytic role and progress to impact. Again, several elements will require the use of the GEF rating system in addition to a descriptive analysis. Rated elements are marked with an asterisk (*).

Progress Towards Objective and Expected Outcomes

UNDP-supported GEF-financed projects are expected to achieve anticipated outcomes by project closing. The TE report must individually assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements.

The TE report must assess the extent to which expected outcomes were achieved and also the extent to which outcome achievement was dependent on delivery of project outputs, and other factors that affected outcome achievement, e.g. project design, project's linkages with other activities, extent and materialization of co-financing, stakeholder involvement, etc. In cases where the project was developed

[39] Access at: https://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards.html

within the framework of a programme, the assessment should also report on the extent the project contributed to programme outcomes.
Regarding outputs, the TE report must assess the extent to which the key expected outputs were actually delivered, and also identify and assess the factors that affected delivery of outputs.

Relevance (*)

Relevance is the extent to which the project's objectives are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

When assessing relevance, the TE team will consider the following:

- Alignment with national priorities:
  - Extent to which the project's objectives were in line with the national development priorities
  - Extent to which the project was appropriately responsive to political, legal, economic, institutional, etc., changes in the country
  - Extent to which the project was formulated according to national and local strategies to advance gender equality
- Alignment with UNDP and GEF strategic priorities:
  - Extent to which the project was in line with the UNDP Strategic Plan, CPD, UNDAF, United Nations Sustainable Development Cooperation Framework (UNSDCF), SDGs and GEF strategic programming
  - Extent to which the project contributed to the Theory of Change for the relevant country programme outcome
- Stakeholder engagement:
  - Extent to which relevant stakeholders participated in the project
  - Extent to which the project was formulated according to the needs and interests of all targeted and/or relevant stakeholder groups
  - Extent to which the intervention is informed by needs and interests of diverse groups of stakeholders through in-depth consultation
- Relevance to and complementarity with other initiatives:
  - Extent to which lessons learned from other relevant projects were considered in the project's design

Relevance will be assessed on a six-point scale, as described in Table 15.

Effectiveness (*)

Effectiveness is the extent to which the project's objectives were achieved or are expected to be achieved. Effectiveness is 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.

The TE team must consider the following points when assessing effectiveness:

- Extent to which the project contributed to the country programme outcomes and outputs, the SDGs, the UNDP Strategic Plan, GEF strategic priorities, and national development priorities; and factors that contributed to the achieving or not achieving intended outcomes and outputs;
- Extent to which the project's actual outcomes/outputs were commensurate with what was planned;
- Areas in which the project had the greatest and fewest achievements; and the contributing factors;
- Extent to which the intervention achieved, or expects to achieve, results (outputs, outcomes and impacts, including global environmental benefits) taking into account the key factors that influenced the results;
- Constraining factors, such as socio-economic, political and environmental risks; cultural and religious festivals, etc. and how they were overcome;
- Any alternative strategies that would have been more effective in achieving the project's objectives;
- Gender
  - Extent to which the project contributed to gender equality, the empowerment of women and a human rights-based approach?
  - Extent to which a gender responsive and human rights-based approach were incorporated in the design and implementation of the intervention.

Effectiveness will be assessed on a six-point scale, as described in Table 15.

Efficiency (*)

Efficiency is a measure of how economically resources and inputs (funds, expertise, time, etc.) are converted to results. It is most commonly applied to the input-output link in the causal chain of an intervention.

When assessing efficiency, the TE team will consider the following:

- Resource allocation and cost effectiveness:
  - Extent to which there was an efficient and economical use of financial and human resources and strategic allocation of resources (funds, human resources, time, expertise, etc.) to achieve outcomes;
  - Whether 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;
  - Comparison of the project cost and time versus output/outcomes equation to that of similar projects;
  - Costs of not providing resources for integrating gender equality and human rights (e.g. enhanced benefits that could have been achieved for modest investment);

- Provision of adequate resources for integrating gender equality and human rights in the project as an investment in short-term, medium-term and long-term benefits;
  - Extent to which the allocation of resources to targeted groups takes into account the need to prioritize those most marginalized.
- Project management and timeliness:
  - Extent to which a project extension could have been avoided (for cases where an extension was approved);
  - Extent to which the project management structure as outlined in the project document was efficient in generating the expected results;
  - Extent to which project funds and activities were delivered in a timely manner;
  - Extent to which M&E systems ensured effective and efficient project management.

Efficiency will be assessed on a six-point scale, as described in Table 15.

Overall Project Outcome (*)

The calculation of the overall project outcome rating will be based on the ratings for relevance, effectiveness and efficiency, of which relevance and effectiveness are critical. Overall project outcome is assessed using a six-point scale, described in Table 15.

- First constraint: The rating on relevance will determine whether the overall outcome rating will be in the unsatisfactory range (MU to HU = unsatisfactory range). If the relevance rating is in the unsatisfactory range then the overall outcome will be in the unsatisfactory range as well. However, where the relevance rating is in the satisfactory range (HS to MS), the overall outcome rating could, depending on its effectiveness and efficiency rating, be either in the satisfactory range or in the unsatisfactory range.
- Second constraint: The overall outcome achievement rating cannot be higher than the effectiveness rating.
- Third constraint: The overall outcome rating cannot be higher than the average score of effectiveness and efficiency criteria.

In cases where a project's result framework has been modified and approved, and if the modifications in the project impact, outcomes and outputs have not scaled down their overall scope, the TE team should assess outcome achievements based on the revised results framework. In instances where the scope of the project objectives and outcomes has been scaled down, the magnitude of and necessity for downscaling is taken into account and despite achievement of results as per the revised results framework, where appropriate, a lower outcome effectiveness rating may be given.

Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	

Table 15. Outcome Ratings Scale - Relevance, Effectiveness, Efficiency

Rating	Description
6 = Highly Satisfactory (HS)	Level of outcomes achieved clearly exceeds expectations and/or there were no shortcomings
5 = Satisfactory (S)	Level of outcomes achieved was as expected and/or there were no or minor shortcomings
4 = Moderately Satisfactory (MS)	Level of outcomes achieved more or less as expected and/or there were moderate shortcomings.
3 = Moderately Unsatisfactory (MU)	Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings
2 = Unsatisfactory (U)	Level of outcomes achieved substantially lower than expected and/or there were major shortcomings.
1 = Highly Unsatisfactory (HU)	Only a negligible level of outcomes achieved and/or there were severe shortcomings
Unable to Assess (UA)	The available information does not allow an assessment of the level of outcome achievements

For further details on the rating system, see the 'Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects'.[40]

Sustainability: financial(*), socio-political(*), institutional framework and governance(*), environmental(*), overall likelihood of sustainability(*)

Sustainability is the continuation or likely continuation of positive effects from a project after it has come to an end, and its potential for scale-up and/or replication. UNDP-supported GEF-financed projects are intended to be environmentally as well as institutionally, financially, politically, culturally and socially sustainable.

The likelihood of sustainability of project outcomes in terms of each of the following risks must be discussed individually and assigned separate ratings. The TE team may also take into account additional risks that may affect sustainability.

- Financial sustainability:
  - What is the likelihood that financial resources will be available once the GEF assistance ends to support the continuation of benefits (income generating activities, and trends that may indicate that it is likely that there will be adequate financial resources for sustaining project outcomes)?
  - What opportunities for financial sustainability exist?
  - What additional factors are needed to create an enabling environment for continued financing?
  - Has there been the establishment of financial and economic instruments and mechanisms to ensure the ongoing flow of benefits once the GEF assistance ends (i.e.

[40] Access at: https://www.gefieo.org/sites/default/files/ieo/evaluations/files/gef-guidelines-te-fsp-2017.pdf

from the public and private sectors, income generating activities, and market transformations to promote the project's objectives)?

- Socio-political sustainability:
  - Are there any social or political risks that can undermine the longevity of project outcomes?
  - What is the risk 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 the project benefits continue to flow?
  - Is there sufficient public/ stakeholder awareness in support of the long-term objectives of the project?
  - Are lessons learned being documented by the Project Team on a continual basis?
  - Are the project's successful aspects being transferred to appropriate parties, potential future beneficiaries, and others who could learn from the project and potentially replicate and/or scale it in the future?
  - Indicate whether the gender results achieved are short-term or long term.
- Institutional framework and governance sustainability
  - Do the legal frameworks, policies, governance structures and processes pose any threat to the continuation of project benefits?
  - Has the project put in place frameworks, policies, governance structures and processes that will create mechanisms for accountability, transparency, and technical knowledge transfer after the project's closure?
  - How has the project developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?
  - How has the project identified and involved champions (i.e. individuals in government and civil society) who can promote sustainability of project outcomes?
  - Has the project achieved stakeholders' (including government stakeholders') consensus regarding courses of action on project activities after the project's closure date?
  - Does the project leadership have the ability to respond to future institutional and governance changes (i.e. foreseeable changes to local or national political leadership)? Can the project strategies effectively be incorporated/mainstreamed into future planning?
  - Is the institutional change conducive to systematically addressing gender equality and human rights concerns?
- Environmental sustainability:
  - Are there environmental factors that could undermine the future flow of project environmental benefits?
  - Will certain activities in the project area pose a threat to the sustainability of project outcomes?

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

Sustainability will be assessed on a four-point, as described in Table 16.

Sustainability	Rating
Financial resources	
Socio-political	
Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

Table 16. Sustainability Ratings Scale

Ratings	Description
4 = Likely (L)	There are little or no risks to sustainability
3 = Moderately Likely (ML)	There are moderate risks to sustainability
2 = Moderately Unlikely (MU)	There are significant risks to sustainability
1 = Unlikely (U)	There are severe risks to sustainability
Unable to Assess (UA)	Unable to assess the expected incidence and magnitude of risks to sustainability

Country ownership

The assessment on country ownership is to be a narrative discussion, with no ratings expected. Some questions to consider in evaluating country ownership include the following:

- Did the project concept have its origin within the national sectoral and development plans?
- Have outcomes (or potential outcomes) from the project have been incorporated into the national sectoral and development plans?
- Are relevant country representatives (e.g., governmental official, civil society, etc.) actively involved in project identification, planning and/or implementation?
- Has the recipient government maintained financial commitment to the project?
- Has the government approved policies and/or modified regulatory frameworks in line with the project's objectives?
- Were the relevant country representatives from government and civil society involved in project implementation, including as part of the Project Board?
- Was an intergovernmental committee given responsibility to liaise with the Project Team, recognizing that more than one ministry should be involved?

Gender equality and women's empowerment

Assessment of gender equality should be present throughout the TE report, but a dedicated section is required that covers the areas described below. The TE report must evaluate the project's gender results which are defined as project outputs or outcomes that have been found to be contributing (positively or negatively) to gender equality and women's empowerment. The gender results of a GEF-financed project would include results planned for as part of the gender action plan and project results framework, as well as any other unplanned gender results produced by project activities.

Below are points to be discussed in the TE report:

- Discuss how effective the project was in contributing to gender equality and women's empowerment.
- Describe how gender results advanced or contributed to the project's environment, climate and/or resilience outcomes.
- Indicate whether the gender results achieved are short-term or long term.
- Is there any potential negative impact on gender equality and women's empowerment? If so, what can be done do to mitigate this?
- Indicate which of the following results areas the project contributed to (indicate as many results areas as applicable and describe the specific results that were attributed to the project):
    - Contributing to closing gender gaps in access to and control over resources;
    - Improving the participation and decision-making of women in natural resource governance;
    - Targeting socio-economic benefits and services for women.
- Discuss any further points on the project's gender results in terms of relevance, effectiveness, efficiency, country ownership, sustainability and impact.
- Use the Gender Results Effectiveness Scale (GRES), if useful. See Figure 2

Additional resources are available to assist TE teams with assessing gender equality.[41]

Cross-cutting Issues

UNDP-supported GEF-financed projects are key elements in UNDP country programming. As such, the objectives and outcomes of the project should align with UNDP country programme strategies, SDGs, as well as with GEF-required global environmental benefits as outlined in global environmental conventions. TE reports must, therefore, assess how projects are successfully mainstreaming other UNDP priorities, including but not limited to: poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, and capacity development, South-South cooperation, knowledge management, volunteerism, etc., as applicable, and how projects incorporated the UNDP commitment to rights-based approaches in their design.

TE teams will need to review relevant country programme documents (CPD, UNDAF, UNSDCF, etc.). A project's Social and Environmental Standards (SES) documents, including but not limited to the SESP, will also be highly relevant.

[41] Additional resources for assessing gender equality:

- For other types of gender analysis that can be useful at planning or evaluation stages and for a compilation of tools, such as Moser Gender Planning Framework, Women's Empowerment Framework, and Gender Audits, see pp. 27-28 in Pittman, A. 2015. "Fast-Forwarding Gender Equality and Women's Empowerment?: Reflections on measuring change for UNDP's thematic evaluation on gender mainstreaming and gender equality 2008-2013." UNDP IEO Occasional Paper
- UN Evaluation Group reported produced as an in-depth guidance handbook to serve as a field guide to improve human rights and gender equality responsive evaluation throughout the UN system. Integrating Human Rights and Gender Equality in Evaluations. 2014: http://www.uneval.org/document/detail/1616
- Gender in Evaluation: Volume 1. 2018. Evaluation Matters Magazine: http://idev.afdb.org/en/document/gender-evaluation-volume-1

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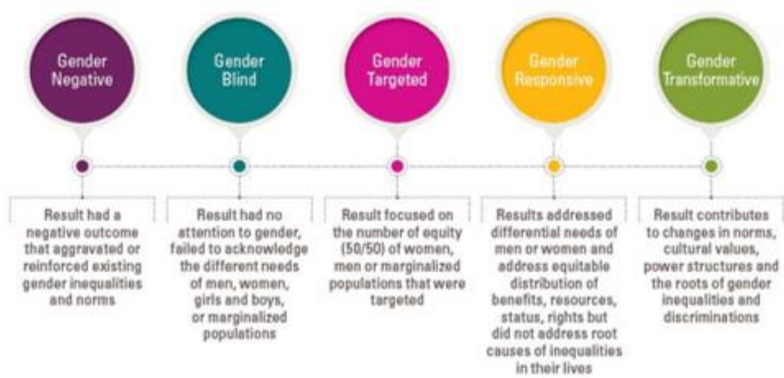
The section on cross-cutting issues should assess, at a minimum:

- 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);
- Extent to which the project objectives conform to agreed priorities in the UNDP Country Programme Document (CPD) and other country programme documents;
- Whether project outcomes have contributed to better preparations to cope with disasters or mitigate risk, and/or addressed climate change mitigation and adaptation, as relevant
- extent to which poor, indigenous, persons with disabilities, women and other disadvantaged or marginalized groups benefited from the project;
- Poverty-environment nexus: how the environmental conservation activities of the project contributed to poverty reduction and sustaining livelihoods
- Extent to which the project contributed to a human rights-based approach

The cross-cutting assessment should take note of the points of convergence between UNDP environment-related and other development programming. The assessment will be in narrative form only, with no ratings expected.

Figure 2. Gender Results Effectiveness Scale (GRES)

The Gender Results Effectiveness Scale (GRES) can be used as a guide to determine the effectiveness and quality of gender-related results, if the TE team finds the approach useful. The GRES offers a five-point scale showing different levels of effectiveness, both positive and negative, moving toward transformational. The GRES may be used by the TE team to provide a deeper analysis of the effectiveness of gender results and the type of gender change. The scale could be applied to the project's gender results as a whole and/or to each outcome or output.



Reproduced from UNDP, 2015. Illustrated Summary 'Evaluation of UNDP's Contribution to Gender Equality.' UNDP IEO.[42]

GEF Additionality

In December 2018, the GEF Council approved 'An Evaluative Approach to Assessing GEF's Additionality'.[43] The GEF Evaluation Policy states that TEs will assess GEF additionality, defined as the additional outcome (both environmental and otherwise) that can be directly associated with the GEF-supported project. GEF IEO classifies additionality into six factors, as shown in Table 17.

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[42] Although all UNDP-supported GEF-financed activities are required to take a gender responsive approach in their development, implementation, monitoring and evaluation, the actual gender results of a project may fall across the GRES scale, not necessarily on the gender responsive point.

[43] Access at: https://www.thegef.org/council-meeting-documents/evaluative-approach-assessing-gef-s-additionality

For projects approved after the December 2018 adoption of the framework for the GEF's additionality, TE reports must provide evidence along the following dimensions at the project completion stage:

- Are the outcomes related to the incremental reasoning?
  - Are there quality quantitative and verifiable data demonstrating the incremental environmental benefits?
  - Do self-evaluations provide evidence of the outcomes achieved in creating a more supportive environment as envisaged at the endorsement stage?
- Can the outcomes be attributed to the GEF contribution as originally anticipated?
  - Do monitoring and evaluation documents provide evidence of the causality between the rationale for GEF involvement and the incremental environmental and other benefits directly associated with the GEF-supported project?
- Are the outcomes sustainable?
  - Is there evidence that project outcomes, both environmental and otherwise, are likely to be sustained beyond the project end? (The TE report can refer to the Sustainability section)
  - If broader impact was anticipated, is there evidence at the completion stage that such a broadening is beginning to occur, or actions towards the broadening have been taken?

TE Teams can refer to 'Part II: Justification' in the PIF and CEO Endorsement request and in 'Section III: Strategy' in the ProDoc for expected incremental/additional cost reasoning.

Table 17. Six Areas of GEF's Additionality

GEF's Additionality	Description
Specific Environmental Additionality	The GEF provides a wide range of value-added interventions/services to achieve the Global Environmental Benefits (e.g. CO_2 reduction, Reduction/avoidance of emission of POPs).
Legal/Regulatory Additionality	The GEF helps stakeholders transformational change to environment sustainable legal /regulatory forms.
Institutional Additionality/Governance additionality	The GEF provides support to the existing institution to transform into efficient/sustainable environment manner.
Financial Additionality	The GEF provides an incremental cost which is associated with transforming a project with national/local benefits into one with global environmental benefits.
Socio-Economic Additionality	The GEF helps society improve their livelihood and social benefits thorough GEF activities.
Innovation Additionality	The GEF provides efficient/sustainable technology and knowledge to overcome the existing social norm/barrier/practice for making a bankable project.

Catalytic/Replication Effect

TEs must include an assessment of the catalytic or replication effect of the project being evaluated. Ratings are not expected, however, the TE team should consider the extent to which the project has demonstrated: a) scaling up, b) replication, c) demonstration, and/or d) production of public good. Definitions of these terms are included in Table 18.

Table 18. Assessment of Catalytic Role

Scaling up	Approaches developed through the project are taken up on a regional / national scale, becoming widely accepted, and perhaps legally required
Replication	Activities, demonstrations, and/or techniques are repeated within or outside the project, nationally or internationally
Demonstration	Steps have been taken to catalyze the public good, for instance through the development of demonstration sites, successful information dissemination and training
Production of public good	The lowest level of catalytic result, including for instance development of new technologies and approaches. ƒ No significant actions were taken to build on this achievement, so the catalytic effect is left to 'market forces'

Replication can be considered when lessons and experiences are replicated in different geographic areas, and also when lessons and experiences are replicated within the same 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.);
  - Provide a list of key knowledge products produced during the project's lifetime
- 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.

Below are points to discuss for this section:

- What are project lessons learned, failures/lost opportunities to date? What might have been done better or differently?
- Did the project have an effective exit strategy?
- What factors of the project achievements are contingent on specific local context or enabling environment factors?
- What needs remain to improve the scalability or replication of project outcomes?
- List key knowledge products that were used to help share lessons and experiences
- Assess knowledge management results and impacts, lessons, best practices, adaptive management actions, portfolio/policy implications, dissemination, and sharing to inform new GEF project/programme design and scale up/replication

Progress to Impact

TE teams must assess and report on progress towards the long-term impact outlined in the project's Theory of Change and the extent to which long-term impact can be attributed to the project. The following impact-related topics should be assessed in TE reports, based on qualitative and quantitative evidence:

- Environmental stress reduction (e.g. GHG emission reduction, reduction of waste discharge, etc.);
    - indicate the scale at which the stress reduction is being achieved
- Environmental status change (e.g. change in population of endangered species, forest stock, water retention in degraded lands, etc.);
- Contributions to changes in policy/legal/regulatory frameworks, including observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access to and use of information (laws, administrative bodies, trust-building and conflict resolution processes, information-sharing systems, etc.);
- Contributions to changes in socio-economic status (income, health, well-being, etc.).

When reporting such evidence, the TE team should note the information source and clarify the scale at which the described impacts is being achieved.

It is also important for TE teams to address the following in relation to impacts:

- Identify the mechanisms at work (i.e. the causal links to project outputs and outcomes);
- Assess the extent to which changes are taking place;
- Assess the likely permanence (long lasting nature) of the impact(s) and any arrangements that were put in place to facilitate follow-up actions;
- Discuss any unintended impacts of the project (both positive and negative) and assess their overall scope and implications;
- Identify barriers and risks that may prevent further progress towards long-term impact;
- Assess any real change in gender equality, e.g. access to and control of resources, decision-making power, division of labor, etc.

GEF/LDCF/SCCF Core Indicators and Tracking Tools will greatly aid in the assessment of impact.

Refer to the GEF's 'Guidelines for GEF Agencies in Conducting TEs for Full-sized Projects[44]' for further details.

Main Findings, Conclusions, Recommendations, Lessons Learned

Main Findings

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

[44] Access at: https://www.gefieo.org/evaluations/guidelines-gef-agencies-conducting-terminal-evaluation-full-sized-projects

factors affecting the achievement of intended results. Assumptions or risks in the project design that subsequently affected implementation should be discussed. Findings should reflect a gender analysis and cross-cutting issue questions.

Conclusions

The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.

Recommendations

Recommendations should provide concrete, practical, feasible and targeted 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. It is suggested to list the recommendations in a table that clearly indicates the responsible party and time frame for each recommendation listed. The TE team should ensure that the recommendations are implementable and manageable in number (preferably no more than 15 recommendations).

Where applicable, the TE report will indicate if there is a need to follow-up on certain evaluation findings (e.g. financial mismanagement, unintended or negative impacts, etc.)

A template for the Recommendations Table is provided in Table 10.

Lessons Learned

One of the most important purposes of the TE report is to distill lessons learned that can be applied to future UNDP-supported GEF-financed interventions. The lessons learned may be taken from any section of the evaluation, including lessons on issues relating to relevance, effectiveness, performance and results; project design and implementation; effective stakeholder engagement; advancing gender equality and women's empowerment; managing environmental and social safeguards and risks; leveraging co-financing and other areas. Lessons should be distinct from recommendations, in that they are not prescriptive in relation to the project being evaluated. The lessons learned section should also discuss where the good practices described should or should not be replicated. Lessons should be general enough to be applied to other projects or programmes in similar contexts. They should be concise and based on specific evidence presented in the report.

Annexes

Annex 1. Glossary of Terms

This Glossary of Terms is sourced from UNDP, GEF, UNEG and OECD-DAC.

Term	Definition
Activities	Actions taken through which the project inputs are mobilized to produce specific outputs
Adaptive Management	The project's ability to adapt to changes to the project design (project objective, outcomes, or outputs) during implementation resulting from: (a) original objectives that were not sufficiently articulated; (b) exogenous conditions that changed, due to which a change in objectives was needed; (c) the project's restructuring because the original objectives were overambitious; or (d) the project's restructuring because of a lack of progress.
Beneficiaries	The individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention.
Conclusions	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	Co-financing is financing additional to GEF grant financing. It supports implementation of a GEF-financed project or programme and the achievement of its objectives.[45]
Commissioning Unit	The office that is responsible for driving the TE process (See Table 3). To help ensure independence and avoid conflicts of interest, the TE process should be driven by an appointed Evaluation manager - the M&E Officer, Specialist or M&E Focal Point - in the Commissioning Unit and not by programme or project staff who are involved in managing the project being evaluated. Programme staff will still provide input and be fully involved in the TE process. If an M&E focal point is not available or in place in the Commissioning unit then an evaluation manger should be appointed who is not part of the Project Team under evaluation.
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

[45] https://www.thegef.org/documents/co-financing;
https://www.thegef.org/sites/default/files/documents/Cofinancing_Policy.pdf;
https://www.thegef.org/sites/default/files/documents/Cofinancing_Guidelines.pdf

	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. It is most commonly applied to the input-output link in the causal chain of an intervention
Environmental risks to sustainability	Environmental factors that threaten sustainability of project outcomes (i.e. biodiversity-related project gains or water quality-related project gains that may be at risk due to frequent severe storms).
Evaluation	An evaluation is an assessment, conducted as systematically and impartially as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional performance. It analyses the level of achievement of both expected and unexpected results by examining the results chain, processes, contextual factors and causality using appropriate criteria such as relevance, effectiveness, efficiency, impact and sustainability. An evaluation should provide credible, useful, evidence-based information that enables the timely incorporation of its findings, recommendations and lessons into the decision-making processes of organizations and stakeholders.
Evaluation Ratings Table	The table summarizing the project performance ratings required for TEs of GEF-financed projects. The criteria rated in TE reports include: Monitoring & Evaluation (at design at entry and implementation); Implementation; Execution; Outcomes in terms of Relevance, Effectiveness and Efficiency; Sustainability (in terms of the following risks to sustainability: financial, socio-political, institutional framework and governance, environmental).
Executing Agency	An entity or agency that receives GEF Funding from a GEF Partner Agency in order to execute a GEF project, or parts of a GEF project, under the supervision of a GEF Partner Agency. May also be referred to as "project executing agency." See "Implementing Partner" for equivalent UNDP terminology.
Financial Planning	Includes actual project cost by activity, financial management (including disbursement issues), and co-financing.
Financial risks to sustainability	Financial factors that threaten sustainability of project outcomes. Factors to be considered are whether financial and economic resources are likely to be

	available after GEF grant assistance ends, or if macroeconomic conditions in the country/region are likely to affect future funding.
GEF Agency	GEF Agencies are the 18 institutions that are eligible to request and receive GEF resources directly for the design, implementation, and supervision of GEF projects and programmes. They include the following organizations: ADB, AfDB, EBRD, FAO, IADB, IFAD, UNDP, UNEP, UNIDO, WBG, CI, CAF, DBSA, FECO, FUNBIO, IUCN, BOAD, WWF-US[46]
Gender analysis	A gender analysis attempts to identify issues that are both contributing to gender inequality and poor development outcomes within the scope of a particular context. A gender analysis examines structural and systematic inequalities defining gender and social roles and relations from an interpersonal, household, community, local and national perspective. It attempts to understand how gendered structural and systematic inequalities contribute to discrimination, subordination and exclusion through the study of public and private social roles adopted by men, women, girls and boys. It also considers other social factors that may contribute to discrimination, such as age, ethnicity, class or caste, etc.
Gender equality	Gender equality refers to the equal rights, responsibilities and opportunities of women and men, girls and boys. Equality does not mean that women and men will become the same, but that women's and men's rights, responsibilities and opportunities will not depend on whether they are born male or female. It implies that the interests, needs and priorities of both women and men are taken into consideration, recognizing the diversity of different groups of women and men. Gender equality is not a "women's issue", but concerns and should fully engage men as well as women. Equality between women and men, girls and boys is seen both as a human rights issue and as a precondition for, and indicator of, sustainable people-centered development. It is also an essential component for the realization of all human rights.
Gender responsive	An approach that ensures that the structural and systematic inequalities driving gender inequality, including the particular needs, priorities, power structures, roles and relationships between men and women, are recognized and adequately addressed in the design, implementation and evaluation of activities. The approach seeks to ensure that women and men are given equal opportunities to participate in and benefit from an intervention and promotes targeted measures to address inequalities and promote the empowerment of women. The approach goes beyond raising sensitivity and awareness to undertaking actions to address gender inequalities.
Human rights	Human rights are the civil, cultural, economic, political and social rights inherent to all human beings, regardless of one's nationality, place of

[46] https://www.thegef.org/partners/gef-agencies

	residence, sex, sexual orientation, national or ethnic origin, colour, disability, religion, language etc. All human beings are entitled to these rights without discrimination. They are universal, inalienable, interdependent, indivisible, equal and non-discriminatory.
Impact	The positive and negative, primary and secondary long-term effects produced by a project or programme, directly or indirectly, intended or unintended.
Implementation Approach	Includes an analysis of the project's work-planning, finance, stakeholder engagement, communication strategy, partnerships in implementation arrangements, and overall project management.
Implementing Partner	UNDP terminology for the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in a signed document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in such document. By signing a Project Document an implementing partner enters into an agreement with UNDP to manage the project and achieve the results defined in the relevant documents. UNDP may select an implementing partner for a project from one of five different types of partner organizations. These categories are: 1. Government entities. The use of a government entity is referred to as national implementation. Eligible government entities include: (a) A ministry of the government; (b) A department within a ministry; (c) A governmental institution of a semi-autonomous nature, such as, the central bank, a university, a regional or local authority or a municipality. 2. United Nations agencies that have signed the Implementing Partner Agreement. 3. Civil Society Organizations (CSOs). 4. UNDP - this is referred to as direct implementation. 5. Approved inter-governmental organizations that are not part of the UN system[47]
Inception Report	A TE Inception Report is prepared by the TE team at least two to four weeks prior to the TE mission. The TE Inception Report is based on the ToR; initial communications with the Commissioning Unit, Project Team, and RTA; and review of the project information package. It outlines the TE team's understanding of the project being evaluated and the methodology(ies) the team will use to ensure the data collected are credible, reliable and useful. The Inception Report provides an opportunity to clarify issues and understanding of the objective and scope of an evaluation, such as resource requirements and delivery schedules. Any changes to the methodologies originally outlined in the TE ToR should be agreed upon and reflected in the TE Inception Report, along with the reasons for the changes. Any identified

[47] UNDP Programme and Operations Policies and Procedures: https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Defining.docx&action=default&DefaultItemOpen=1

	issues or misunderstandings should also be addressed at this stage and prior to any data-collection or field missions.
Innovation	An idea, embodied in a technology, product, or process, which is new and creates value. To be impactful, innovations must also be scalable, not merely one-off novelties. A new or improved product or process (or combination thereof) that differs significantly from the unit's previous products or processes and that has been made available to potential users or brought into use by the unit.
Inputs	The financial, human, and material resources used for the development intervention.
Institutional framework and governance risks to sustainability	Legal, policy, and governance factors that threaten sustainability of project outcomes. Factors to be considered are whether systems of accountability, transparency, and technical know-how are in place.
Investment Mobilized	Co-financing that excludes recurrent expenditures[48]
Joint Evaluation	An evaluation to which multiple donor agencies and/or partners participate.
Monitoring	A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. 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.
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. The likely or achieved short-term and medium-term effects of an intervention's outputs.
Outputs	Products and services that result from the completion of activities implemented within a project or programme.
Quality Assessment	Quality assessment (QA) encompasses any activity that is concerned with assessing and improving the merit or the worth of an intervention or its compliance with given standards. For the purposes of this Guide, it especially refers to the assessment of the quality of Terminal Evaluations carried out for UNDP-supported GEF-financed projects by the UNDP IEO.

[48] GEF Co-financing Guidelines: https://www.thegef.org/sites/default/files/documents/Cofinancing_Guidelines.pdf

	The QA process also validates the evaluation ratings from the TE team in the final evaluation report and can recommend changes to the final ratings of a project and its achievements.
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	In the context of GEF-financed 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.
Results	In GEF terms, results include intervention outputs, outcomes, progress toward longer term impact including global environmental benefits, and should be discernible/measurable.
Risk Analysis	An analysis or an assessment of factors (called assumptions in the logframe) that 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.
Social and Environmental Standards	UNDP's Social and Environmental Standards (SES) underpin UNDP's commitment to mainstream social and environmental sustainability in programmes and projects. The objectives of the standards are to: Strengthen the social and environmental outcomes of Programmes and Projects; avoid adverse impacts to people and the environment; minimize, mitigate, and manage adverse impacts where avoidance is not possible; strengthen UNDP and partner capacities for managing social and environmental risks; and ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people. The SES are an integral component of UNDP's quality assurance and risk management approach to programming. This includes our Social and Environmental Screening Procedure.
Socio-political and economic risks to sustainability	Social risks to economic changes and/or political and cultural factors that threaten sustainability of project outcomes. Factors to be considered are level of stakeholder ownership (over project planning, resources, project benefits, etc.) and stakeholder awareness in support of the project's long-term objectives.
Stakeholder	An individual or group that has a direct or indirect interest in the outcome of the development intervention or its evaluation, or is likely to be affected by it, such as local communities, indigenous peoples, civil society organizations, and private sector entities; stakeholders may include national project or

	programme executing agencies, or groups contracted to conduct activities at various stages of the project or programme.
Stakeholder engagement	A process that begins with stakeholder identification and analysis and includes planning; disclosure of information; consultation and participation; monitoring, evaluation, and learning throughout the project cycle; addressing grievances; and ongoing reporting to stakeholders.
Sustainability	The likely ability of an intervention to continue to deliver benefits, within or outside the project domain, after GEF/external assistance has come to an end.
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.
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. Terminal Evaluation Terms of Reference (Template 1)

Terminal Evaluation Terms of Reference (ToR) template for UNDP-supported GEF-financed Projects

Template 1 is formatted for attachment to the [UNDP Procurement website]

1. INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the *full- or medium-sized* project titled *Project Title (PIMS #)* implemented through the *Executing Agency/Implementing Partner*. The project started on the *Project Document signature date* and is in its *X* year of implementation. The TE process must follow the guidance outlined in the document 'Guidance For Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects' (insert hyperlink).

2. PROJECT BACKGROUND AND CONTEXT

Provide a brief introduction to the project being evaluated, including but not limited to the following information: project goal, objective and key outcomes, location, timeframe, justification for the project, institutional arrangements, total budget, planned co-financing, key partners, key stakeholders, observed changes since the beginning of implementation and contributing factors, linkages to relevant cross-cutting aspects (i.e. vulnerable groups, gender, human right, etc.), relevance of the project to the partner Government's strategies and priorities, linkages to SDGs, and linkages to UNDP corporate goals. Identify the critical social, economic, political, geographic and demographic factors within which the project operates that have a direct bearing on the evaluation. This section should be focused and concise (a maximum of one page) highlighting only those issues most pertinent to the evaluation.

3. TE PURPOSE

The TE report will assess the achievement of project results against what was expected to be achieved, and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency, and assesses the extent of project accomplishments.

(Expand on the above text to clearly explain why the TE is being conducted, who will use or act on the TE results and how they will use or act on the results. The TE purpose should explain why the TE is being conducted at this time and how the TE fits within the Commissioning Unit's evaluation plan.)

4. TE APPROACH & METHODOLOGY

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

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisor, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *(list)*; executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc. Additionally, the TE team is expected to conduct field missions to *(locations)*, including the following project sites *(list)*.

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE team must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

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

(Note: The TOR should retain enough flexibility for the evaluation team to determine the best methods and tools for collecting and analysing data. For example, the TOR might suggest using questionnaires, field visits and interviews, but the evaluation team should be able to revise the approach in consultation with the evaluation manager and key stakeholders. These changes in approach should be agreed and reflected clearly in the TE Inception Report.)

The final report must describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

5. DETAILED SCOPE OF THE TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see ToR Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects *(insert hyperlink)*. *(The scope of the TE should detail and include aspects of the project to be covered by the TE, such as the time frame, and the primary issues of concern to users that the TE needs to address.*

The Findings section of the TE report will cover the topics listed below. A full outline of the TE report's content is provided in ToR Annex C.

The asterisk "(*)" indicates criteria for which a rating is required.

Findings

i. <u>Project Design/Formulation</u>

- National priorities and country driven-ness
- Theory of Change
- Gender equality and women's empowerment
- Social and Environmental Safeguards
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

ii. <u>Project Implementation</u>

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
- Implementing Agency (UNDP) (*) and Executing Agency (*), overall project oversight/implementation and execution (*)
- Risk Management, including Social and Environmental Standards

iii. <u>Project Results</u>

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (*), Effectiveness (*), Efficiency (*) and overall project outcome (*)
- Sustainability: financial (*) , socio-political (*), institutional framework and governance (*), environmental (*), overall likelihood of sustainability (*)
- Country ownership
- Gender equality and women's empowerment

- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to impact

Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE team will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.
- Recommendations should provide concrete, practical, feasible and targeted 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 TE report should also include lessons that can be taken from the evaluation, including best practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to incorporate gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown below:

ToR Table 2: Evaluations Ratings Table for *(project title)*

Monitoring & Evaluation (M&E)	Rating[49]
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	

[49] Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight & Execution, Relevance are rated on a 6-point scale: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4=Likely (L), 3=Moderately Likely (ML), 2=Moderately Unlikely (MU), 1=Unlikely (U)

Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	
Sustainability	Rating
Financial resources	
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

6. TIMEFRAME

The total duration of the TE will be approximately *(average 25-35 working days)* over a time period of *(# of weeks)* starting on *(date)*. The tentative TE timeframe is as follows:

Timeframe	Activity
(date)	Application closes
(date)	Selection of TE team
(date)	Preparation period for TE team (handover of documentation)
(date) XX days (recommended 2-4)	Document review and preparation of TE Inception Report
(date) XX days	Finalization and Validation of TE Inception Report; latest start of TE mission
(date) XX days (recommended 7-15)	TE mission: stakeholder meetings, interviews, field visits, etc.
(date)	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
(date) XX days (recommended 5-10)	Preparation of draft TE report
(date)	Circulation of draft TE report for comments
(date)	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
(date)	Preparation and Issuance of Management Response
(date)	Concluding Stakeholder Workshop (optional)
(date)	Expected date of full TE completion

Options for site visits should be provided in the TE Inception Report.

7. TE DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	TE team clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE mission: *(by date)*	TE team submits Inception Report to Commissioning Unit and project management
2	Presentation	Initial Findings	End of TE mission: *(by date)*	TE team presents to Commissioning Unit and project management
3	Draft TE Report	Full draft report *(using guidelines on report content in ToR Annex C)* with annexes	Within 3 weeks of end of TE mission: *(by date)*	TE team submits to Commissioning Unit; reviewed by RTA, Project Coordinating Unit, GEF OFP
5	Final TE Report* + Audit Trail	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report *(See template in ToR Annex H)*	Within 1 week of receiving comments on draft report: *(by date)*	TE team submits both documents to the Commissioning Unit

*All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.[50]

8. TE ARRANGEMENTS

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is *(in the case of single-country projects, the Commissioning Unit is the UNDP Country Office. In the case of regional projects and jointly-implemented projects, typically the principal responsibility for managing the TE resides with the country or agency or regional coordination body – please confirm with the RTA in the region – that is receiving the larger portion of GEF financing. For global projects, the Commissioning Unit can be the Nature, Climate and Energy Vertical Fund Directorate or the lead UNDP Country Office.)*

The Commissioning Unit will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the TE team. The Project Team will be responsible for liaising

[50] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml

with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. TE TEAM COMPOSITION

A team of *two independent evaluators* will conduct the TE – *one team leader (with experience and exposure to projects and evaluations in other regions) and one team expert, usually from the country of the project*. The team leader will *(add details, as appropriate, e.g. be responsible for the overall design and writing of the TE report, etc.)* The team expert will *(add details, as appropriate, e.g. assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary, etc.)*

The evaluator(s) cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.

The selection of evaluators will be aimed at maximizing the overall "team" qualities in the following areas: *(Adjust the qualifications as needed and provide a weight to each qualification. In most cases, the qualifications for the team leader and those for the team expert will differ. Therefore, there should be two different lists of qualifications or separate ToRs.)*

Education

- Master's degree in *(fill in)* or other closely related field;

Experience

- Recent experience with results-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to *(fill in GEF Focal Area);*
- Experience in evaluating projects;
- Experience working in *(region of project);*
- Experience in relevant technical areas for at least *10 years;*
- Demonstrated understanding of issues related to gender and *(fill in GEF focal area);* experience in gender responsive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experience within United Nations system will be considered an asset;

Language

- Fluency in written and spoken English
- *Add language, if needed*

10. EVALUATOR ETHICS

The TE team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

11. PAYMENT SCHEDULE

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

  Criteria for issuing the final payment of 40%[51]
  - The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
  - The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
  - The Audit Trail includes responses to and justification for each comment listed.

12. APPLICATION PROCESS[52]

(Adjust this section if a vetted roster will be used)

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[51] The Commissioning Unit is obligated to issue payments to the TE team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the TE team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:
https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default

[52] Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP
https://popp.undp.org/SitePages/POPPRoot.aspx

Recommended Presentation of Proposal:

a) **Letter of Confirmation of Interest and Availability** using the template[53] provided by UNDP;
b) **CV** and a **Personal History Form** (P11 form[54]);
c) Brief description **of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (insert mailing address) in a sealed envelope indicating the following reference "Consultant for Terminal Evaluation of *(project title)*" or by email at the following address ONLY: *(insert email address)* by *(time and date)*. Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

13. TOR ANNEXES

(Add the following annexes to the final ToR)

- ToR Annex A: Project Logical/Results Framework
- ToR Annex B: Project Information Package to be reviewed by TE team
- ToR Annex C: Content of the TE report
- ToR Annex D: Evaluation Criteria Matrix template
- ToR Annex E: UNEG Code of Conduct for Evaluators
- ToR Annex F: TE Rating Scales
- ToR Annex G: TE Report Clearance Form
- ToR Annex H: TE Audit Trail

[53] https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx

[54] http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

Annex 3. Terminal Evaluation Terms of Reference (Template 2)

Terminal Evaluation Terms of Reference (ToR) Template for UNDP-supported GEF-financed projects

Template 2 is formatted for the UNDP Jobs website

BASIC CONTRACT INFORMATION

Location:
Application Deadline:
Type of Contract:
Assignment Type:
Languages Required:
Starting Date:
Duration of Initial Contract:
Expected Duration of Assignment:

BACKGROUND

1. Introduction

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the *full- or medium-sized* project titled *Project Title* (PIMS *#*) implemented through the *Executing Agency/Implementing Partner*. The project started on the *Project Document signature date* and is in its *X* year of implementation. The TE process must follow the guidance outlined in the document 'Guidance For Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects' *(insert hyperlink)*.

2. Project Description

Provide a brief introduction to the project being evaluated, including but not limited to the following information: project goal, objective and key outcomes, location, timeframe, justification for the project, institutional arrangements, total budget, planned co-financing, key partners, key stakeholders, observed changes since the beginning of implementation and contributing factors, linkages to relevant cross-cutting aspects (i.e. vulnerable groups, gender, human right, etc.), relevance of the project to the partner Government's strategies and priorities, linkages to SDGs, and linkages to UNDP corporate goals. Identify the critical social, economic, political, geographic and demographic factors within which the project operates that have a direct bearing on the evaluation. This section should be focused and concise (a maximum of one page) highlighting only those issues most pertinent to the evaluation.

3. TE Purpose

The TE report will assess the achievement of project results against what was expected to be achieved, and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency, and assesses the extent of project accomplishments.

(Expand on the above text to clearly explain why the TE is being conducted, who will use or act on the TE results and how they will use or act on the results. The TE purpose should explain why the TE is being conducted at this time and how the TE fits within the Commissioning Unit's evaluation plan.)

DUTIES AND RESPONSIBILITIES

4. TE Approach & Methodology

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

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisors, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *(list);* executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc. Additionally, the TE team is expected to conduct field missions to *(locations)*, including the following project sites *(list)*.

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation should be clearly outlined in the inception report and be fully discussed and agreed between UNDP, stakeholders and the TE team.

(Note: The TOR should retain enough flexibility for the evaluation team to determine the best methods and tools for collecting and analysing data. For example, the TOR might suggest using questionnaires, field visits and interviews, but the evaluation team should be able to revise the approach in consultation with the evaluation manager and key stakeholders. These changes in approach should be agreed and reflected clearly in the TE Inception Report.)

The final TE report should describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

5. Detailed Scope of the TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see TOR Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects *(insert hyperlink)*.

The Findings section of the TE report will cover the topics listed below.

A full outline of the TE report's content is provided in ToR Annex C.

The asterisk "(*)" indicates criteria for which a rating is required.

Findings

iv. Project Design/Formulation

- National priorities and country driven-ness
- Theory of Change
- Gender equality and women's empowerment
- Social and Environmental Safeguards
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

v. Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
- Implementing Agency (UNDP) (*) and Executing Agency (*), overall project oversight/implementation and execution (*)
- Risk Management, including Social and Environmental Standards

vi. Project Results

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (*), Effectiveness (*), Efficiency (*) and overall project outcome (*)
- Sustainability: financial (*) , socio-political (*), institutional framework and governance (*), environmental (*), overall likelihood of sustainability (*)
- Country ownership
- Gender equality and women's empowerment
- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to impact

vii. Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE team will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.
- Recommendations should provide concrete, practical, feasible and targeted 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 TE report should also include lessons that can be taken from the evaluation, including best and worst practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used,

partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.

- It is important for the conclusions, recommendations and lessons learned of the TE report to include results related to gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown in the ToR Annex.

6. Expected Outputs and Deliverables

The TE *consultant/team* shall prepare and submit:

- TE Inception Report: TE team clarifies objectives and methods of the TE no later than *2 weeks* before the TE mission. TE team submits the Inception Report to the Commissioning Unit and project management. Approximate due date: *(date)*
- Presentation: TE team presents initial findings to project management and the Commissioning Unit at the end of the TE mission. Approximate due date: *(date)*
- Draft TE Report: TE team submits full draft report with annexes *within 3 weeks* of the end of the TE mission. Approximate due date: *(date)*
- Final TE Report* and Audit Trail: TE team submits revised report, with Audit Trail detailing how all received comments have (and have not) been addressed in the final TE report, to the Commissioning Unit *within 1 week* of receiving UNDP comments on draft. Approximate due date: *(date)*

*The final TE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.[55]

7. TE Arrangements

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is *(in the case of single-country projects, the Commissioning Unit is he UNDP Country Office. In the case of regional projects and jointly-implemented projects, typically the principal responsibility for managing the TE resides with the country or agency or regional coordination body – please confirm with the RTA in the region – that is receiving the larger portion of GEF financing. For global projects, the Commissioning Unit can be the Nature, Climate and Energy Vertical Fund Directorate or the lead UNDP Country Office.)*

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the TE team. The Project Team will be responsible for liaising

[55] Access at: http://web.undp.org/evaluation/guideline/section-6.shtml

with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

8. Duration of the Work

The total duration of the TE will be approximately *(average 25-35 working days)* over a time period of *(# of weeks)* starting *(date)* and shall not exceed five months from when the TE team is hired. The tentative TE timeframe is as follows:

- *(date):* Application closes
- *(date):* Selection of TE Team
- *(date):* Prep the TE team (handover of project documents)
- *(dates): XX* days (recommended 2-4): Document review and preparing TE Inception Report
- *(dates): XX* days: Finalization and Validation of TE Inception Report- latest start of TE mission
- *(dates): XX* days (r: 7-15): TE mission: stakeholder meetings, interviews, field visits
- *(dates):* Mission wrap-up meeting & presentation of initial findings- earliest end of TE mission
- *(dates): XX* days (r: 5-10): Preparation of draft TE report
- *(date):* Circulation of draft TE report for comments
- *(dates): XX* days (r: 1-2): Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
- *(dates):* Preparation & Issue of Management Response
- *(date):* (optional) Concluding Stakeholder Workshop
- *(date):* Expected date of full TE completion

The expected date start date of contract is *(date)*.

9. Duty Station

Identify the consultant's duty station/location for the contract duration, mentioning ALL possible locations of field works/duty travel in pursuit of other relevant activities, specially where traveling to locations at security Phase I or above will be required.

Travel:

- International travel will be required to *(X country/countries)* during the TE mission;
- The BSAFE course must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under: https://dss.un.org/dssweb/
- All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.
-

REQUIRED SKILLS AND EXPERIENCE

10. TE Team Composition and Required Qualifications

A team of *two independent evaluators* will conduct the TE – *one team leader (with experience and exposure to projects and evaluations in other regions) and one team expert, usually from the country of the project*. The team leader will *(add details, as appropriate, e.g. be responsible for the overall design and writing of the TE report, etc.)* The team expert will *(add details, as appropriate, e.g. assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary, etc.)*

The evaluator(s) cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.

The selection of evaluators will be aimed at maximizing the overall "team" qualities in the following areas: *(Adjust the qualifications as needed and provide a weight to each qualification. In most cases, the qualifications for the team leader and those for the team expert will differ. Therefore, there should be two different lists of qualifications or separate ToRs.)*

Education

- Master's degree in *(fill in)* or other closely related field;

Experience

- Recent experience with results-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to *(fill in GEF Focal Area);*
- Experience in evaluating projects;
- Experience working in *(region of project);*
- Experience in relevant technical areas for at least *10 years;*
- Demonstrated understanding of issues related to gender and *(fill in GEF focal area);* experience in gender responsive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experience within United Nations system will be considered an asset;

Language

- Fluency in written and spoken English.
- *Add language, if needed*

11. Evaluator Ethics

The TE team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

12. Payment Schedule

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

  Criteria for issuing the final payment of 40%
  - The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
  - The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
  - The Audit Trail includes responses to and justification for each comment listed.

APPLICATION PROCESS

(Adjust this section if a vetted roster will be used)

13. Scope of Price Proposal and Schedule of Payments

Financial Proposal:
- Financial proposals must be "all inclusive" and expressed in a lump-sum for the total duration of the contract. The term "all inclusive" implies all cost (professional fees, travel costs, living allowances etc.);
- For duty travels, the UN's Daily Subsistence Allowance (DSA) rates are (fill for all travel destinations), which should provide indication of the cost of living in a duty station/destination *(Note: Individuals on this contract are not UN staff and are therefore not entitled to DSAs. All living allowances required to perform the demands of the ToR must be incorporated in the financial proposal, whether the fees are expressed as daily fees or lump sum amount.)*
- The lump sum is fixed regardless of changes in the cost components.

14. Recommended Presentation of Proposal

a) **Letter of Confirmation of Interest and Availability** using the template provided by UNDP;
b) **CV** and a **Personal History Form** (P11 form);
c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)

d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc.), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (insert mailing address) in a sealed envelope indicating the following reference "Consultant for Terminal Evaluation of *(project title)*" or by email at the following address ONLY: *(insert email address)* by *(time and date)*. Incomplete applications will be excluded from further consideration.

15. Criteria for Selection of the Best Offer

Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

16. Annexes to the TE ToR

[Share ToR Annexes directly with short-listed applicants. Include link to 'Guidance For Conducting Terminal Evaluations of UNDP-Supported GEF-Financed Projects' and other existing literature or documents that will help candidates gain a better understanding of the project situation and the work required.

Suggested ToR annexes include:

- ToR Annex A: Project Logical/Results Framework
- ToR Annex B: Project Information Package to be reviewed by TE team
- ToR Annex C: Content of the TE report
- ToR Annex D: Evaluation Criteria Matrix template
- ToR Annex E: UNEG Code of Conduct for Evaluators
- ToR Annex F: TE Rating Scales and TE Ratings Table
- ToR Annex G: TE Report Clearance Form
- ToR Annex H: TE Audit Trail template

Annex 4. UNEG Code of Conduct for Evaluators[56]

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

Evaluators/Consultants:

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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

Evaluation Consultant Agreement Form

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

Name of Evaluator: ____

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 ___________________ (Date)

Signature: ____

[56] Source: http://www.unevaluation.org/document/detail/100

Annex 5. TE Audit Trail

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

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

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

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

Annex 6. Sample Evaluation Criteria Matrix

Below is a sample Evaluation Criteria Matrix for a biodiversity project.

Evaluation Questions	Indicators	Sources	Data Collection Method
Evaluation Criteria: Relevance			
• Does the project's objective align with the priorities of the local government and local communities?	• Level of coherence between project objective and stated priorities of local stakeholders	• Local stakeholders • Document review of local development strategies, environmental policies, etc.	• Local level field visit interviews • Desk review
• Does the project's objective fit within the national environment and development priorities?	• Level of coherence between project objective and national policy priorities and strategies, as stated in official documents	• National policy documents, such as National Biodiversity Strategy and Action Plan, National Capacity Self-Assessment, etc.	• Desk review • National level interviews
• Did the project concept originate from local or national stakeholders, and/or were relevant stakeholders sufficiently involved in project development?	• Level of involvement of local and national stakeholders in project origination and development (number of meetings held, project development processes incorporating stakeholder input, etc.)	• Project staff • Local and national stakeholders • Project documents	• Field visit interviews • Desk review
• Does the project objective fit GEF strategic priorities?	• Level of coherence between project objective and GEF strategic priorities (including alignment of relevant focal area indicators)	• GEF strategic priority documents for period when project was approved • Current GEF strategic priority documents	• Desk review

Evaluation Questions	Indicators	Sources	Data Collection Method
• Was the project linked with and in-line with UNDP priorities and strategies for the country?	• Level of coherence between project objective and design with UNDAF, CPD	• UNDP strategic priority documents	• Desk review
• Does the project's objective support implementation of the Convention on Biological Diversity? Other relevant MEAs?	• Linkages between project objective and elements of the CBD, such as key articles and programs of work	• CBD website • National Biodiversity Strategy and Action Plan	• Desk review
Evaluation Criteria: Efficiency			
• Is the project cost-effective?	• Quality and adequacy of financial management procedures (in line with UNDP, UNOPS, and national policies, legislation, and procedures) • Financial delivery rate vs. expected rate • Management costs as a percentage of total costs	• Project documents • Project staff	• Desk review • Interviews with project staff
• Are expenditures in line with international standards and norms?	• Cost of project inputs and outputs relative to norms and standards for donor projects in the country or region	• Project documents • Project staff	• Desk review • Interviews with project staff
• Is the project implementation approach efficient for delivering the planned project results?	• Adequacy of implementation structure and mechanisms for coordination and communication • Planned and actual level of human resources available • Extent and quality of engagement with	• Project documents • National and local stakeholders • Project staff	• Desk review • Interviews with project staff • Interviews with national and local stakeholders

Evaluation Questions	Indicators	Sources	Data Collection Method
	relevant partners / partnerships • Quality and adequacy of project monitoring mechanisms (oversight bodies' input, quality and timeliness of reporting, etc.)		
• Is the project implementation delayed? If so, has that affected cost-effectiveness?	• Project milestones in time • Planned results affected by delays • Required project adaptive management measures related to delays	• Project documents • Project staff	• Desk review • Interviews with project staff
• What is the contribution of cash and in-kind co-financing to project implementation?	• Level of cash and in-kind co-financing relative to expected level	• Project documents • Project staff	• Desk review • Interviews with project staff
• To what extent is the project leveraging additional resources?	• Amount of resources leveraged relative to project budget	• Project documents • Project staff	• Desk review • Interviews with project staff
Evaluation Criteria: Effectiveness			
• Are the project objectives likely to be met? To what extent are they likely to be met?	• Level of progress toward project indicator targets relative to expected level at current point of implementation	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
• What are the key factors contributing to project success or underachievement?	• Level of documentation of and preparation for project risks, assumptions and impact drivers	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
• What are the key risks and barriers that remain to achieve the project objective and generate Global	• Presence, assessment of, and preparation for expected risks, assumptions and impact drivers	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review

Evaluation Questions	Indicators	Sources	Data Collection Method
Environmental Benefits?			
• Are the key assumptions and impact drivers relevant to the achievement of Global Environmental Benefits likely to be met?	• Actions undertaken to address key assumptions and target impact drivers	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
Evaluation Criteria: Results			
• Have the planned outputs been produced? Have they contributed to the project outcomes and objectives?	• Level of project implementation progress relative to expected level at current stage of implementation • Existence of logical linkages between project outputs and outcomes/impacts	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
• Are the anticipated outcomes likely to be achieved? Are the outcomes likely to contribute to the achievement of the project objective?	• Existence of logical linkages between project outcomes and impacts	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
• Are impact level results likely to be achieved? Are the likely to be at the scale sufficient to be considered Global Environmental Benefits?	• Environmental indicators • Level of progress through the project's Theory of Change	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
Evaluation Criteria: Sustainability			
• To what extent are project results likely to be dependent on continued financial support? What is the likelihood that any	• Financial requirements for maintenance of project benefits • Level of expected financial resources available to support	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review

Evaluation Questions	Indicators	Sources	Data Collection Method
required financial resources will be available to sustain the project results once the GEF assistance ends?	maintenance of project benefits • Potential for additional financial resources to support maintenance of project benefits		
• Do relevant stakeholders have or are likely to achieve an adequate level of "ownership" of results, to have the interest in ensuring that project benefits are maintained?	• Level of initiative and engagement of relevant stakeholders in project activities and results	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
• Do relevant stakeholders have the necessary technical capacity to ensure that project benefits are maintained?	• Level of technical capacity of relevant stakeholders relative to level required to sustain project benefits	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
• To what extent are the project results dependent on socio-political factors?	• Existence of socio-political risks to project benefits	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
• To what extent are the project results dependent on issues relating to institutional frameworks and governance?	• Existence of institutional and governance risks to project benefits	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
• Are there any environmental risks that can undermine the future flow of project impacts and Global Environmental Benefits?	• Existence of environmental risks to project benefits	• Project documents • Project staff • Project stakeholders	• Field visit interviews • Desk review
Gender equality and women's empowerment			

Evaluation Questions	Indicators	Sources	Data Collection Method
• How did the project contribute to gender equality and women's empowerment? •	• Level of progress of gender action plan and gender indicators in results framework	• Project documents • Project staff • Project stakeholders	• Desk review, interviews, field visits
• In what ways did the project's gender results advance or contribute to the project's biodiversity outcomes?	• Existence of logical linkages between gender results and project outcomes and impacts	• Project documents • Project staff • Project stakeholders	• Desk review, interviews, field visits
Cross-cutting and UNDP Mainstreaming Issues			
• How were effects on local populations considered in project design and implementation?	• Positive or negative effects of the project on local populations.	• Project document, progress reports, monitoring reports	• Desk review, interviews, field visits

Annex 7. TE Report Content Review Checklist

The following is a TE report content review checklist that the Commissioning Unit (M&E Focal Point), Regional PA, and/or RTA could use during the TE report review process. All of the components on this checklist might not be in exact order in the TE report; however, these aspects should be adequately represented somewhere within the report. The TE review should examine compliance with the ToR. The Programme Officer and RTA will also examine the report for quality assurance, highlighting (i) factual errors, (ii) issues of lack of evidence / possible bias in statements; (iii) gaps in analysis; (iv) issues with the structure and readability of the report; and (v) adequate justification of ratings, conclusions, and recommendations.

#	Item	Included and at satisfactory standards?	Comments
i.	Basic Report Information (to be included in title page)		
	Title of UNDP-supported GEF-financed project		
	UNDP PIMS ID and GEF ID		
	TE timeframe and date of final TE report		
	Region and countries included in the project		
	GEF Focal Area/Strategic Program		
	Executing Agency, Implementing partner and other project partners		
	TE Team members		
Ii	Acknowledgements		
iii.	Table of Contents		
	List, with page numbers		
iv.	Acronyms and Abbreviations		
	List		
1.	Executive Summary (3-4 pages)		
	Project Information Table		
	Project Description (brief)		
	Evaluation Ratings Table		
	Concise summary of findings, conclusions and lessons learned		
	Recommendations summary table		
2.	Introduction (2-3 pages)		
	Purpose and objective of the TE		
	Scope		
	Methodology		
	Data Collection & Analysis		
	Ethics		
	Limitations to the evaluation		
	Structure of the TE report		

3.	Project Description (3-5 pages)		
	Project start and duration, including milestones		
	Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope		
	Problems that the project sought to address: threats and barriers targeted		
	Immediate and development objectives of the project		
	Expected results		
	Main stakeholders: summary list		
	Theory of Change		
4.	Findings		
4.1	Project Design/Formulation		
	Analysis of Results Framework: project logic and strategy, indicators		
	Assumptions and Risks		
	Lessons from other relevant projects (e.g. same focal area) incorporated into project design		
	Planned stakeholder participation		
	Linkages between project and other interventions within the sector		
4.2	Project Implementation		
	Adaptive management (changes to the project design and project outputs during implementation)		
	Actual stakeholder participation and partnership arrangements		
	Project Finance and Co-finance		
	Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment (*)		
	UNDP implementation/oversight (*) and Implementing Partner execution (*), overall project implementation/execution (*), coordination, and operational issues		
	Risk Management, including Social and Environmental Standards (Safeguards)		
4.3	Project Results and Impacts		
	Progress towards objective and expected outcomes		
	Relevance (*)		
	Effectiveness (*)		
	Efficiency (*)		
	Overall outcome (*)		

	Sustainability: financial (*), socio-political (*), institutional framework and governance (*), environmental (*), and overall likelihood (*)		
	Country ownership		
	Gender equality and women's empowerment		
	Cross-cutting Issues		
	GEF Additionality		
	Catalytic/Replication Effect		
	Progress to Impact		
5.	Main Findings, Conclusions, Recommendations and Lessons		
	Main Findings		
	Conclusions		
	Recommendations		
	Lessons Learned		
6	Annexes		
	TE ToR (excluding ToR annexes)		
	TE Mission itinerary including summary of field visits		
	List of persons interviewed		
	List of documents reviewed		
	Evaluation Question Matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)		
	Questionnaire used and summary of results		
	Co-financing tables (if not included in body of report)		
	TE Rating scales		
	Signed Evaluation Consultant Agreement form		
	Signed UNEG Code of Conduct form		
	Signed TE Report Clearance form		
	Annexed in a separate file: TE Audit Trail		
	Annexed in a separate file: relevant GEF/LDCF/SCCF Core Indicators or Tracking Tools		

Annex 8. Summary of Actions for all TE Phases

Summary of actions: Pre-Evaluation Phase

	Action	Timeframe	Responsible Party	Contributors
1	Draft ToR using standard template	At least 6 months prior to expected TE completion date	M&E Focal Point at Commissioning Unit	Programme Officer at Commissioning Unit, Project Team
2	Draft questions for Evaluation Criteria Matrix to be annexed to ToR	At least 6 months prior to expected TE completion date	M&E Focal Point at Commissioning Unit	Project Team
3	Finalize ToR	At least 4 months before expected TE completion date	M&E Focal Point at Commissioning Unit	
4	Advertise ToR or use vetted roster; inform RTA	At least 4 months before expected TE completion date	M&E Focal Point at Commissioning Unit with Operations Unit	
5	Upload ToR to ERC	Within two weeks after ToR is finalized	M&E Focal Point at Commissioning Unit	
6	Clear uploaded ToR in ERC in order for it to publicly appear	As per schedule at Regional Hub	Regional M&E Advisor	
7	Prepare terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools	Process must begin well in advance of the TE mission, as the Core Indicators/Tracking Tools must be available to the TE team as soon as they are recruited	Project Team	
8	Quality assure and clear GEF/LDCF/SCCF Core Indicators or Tracking Tools		RTA and Nature, Climate and Energy Vertical Fund Directorate	
9	Compile project information package	Final package must be available to TE team as soon as they are recruited	M&E Focal Point at Commissioning Unit	Programme Officer at Commissioning Unit, Project Team

Summary of actions: Preparation Phase

	Action	Timeframe	Responsible Party	Contributors
1	Share CVs of long- and short-listed candidates with RTA and Project Team	As soon as application period closes	M&E Focal Point at Commissioning Unit	

2	Select TE team	At least 1-2 months prior to start of the TE mission	M&E Focal Point and Operations team at Commissioning Unit	RTA, Project Team
3	Brief TE team; provide project information package; handle mission preparation	Immediately after TE team is recruited	M&E Focal Point at Commissioning Unit	Project Team, Programme Officer at Commissioning Unit
5	Facilitate finalization by Project Team of GEF/LDCF/SCCF Core Indicators (or Tracking Tools	During recruitment process and once TE team is recruited	M&E Focal Point at Commissioning Unit	Project Team
6	Sign UNEG Code of Conduct form; review evaluation ethics, review TE guidance and other relevant UNDP and/or GEF guidance, review project information package	Contract signature	TE Team	

Summary of actions: Implementation Phase				
	Action	Timeframe	Responsible Party	Contributors
1	Handle logistics and planning of TE mission	During recruitment process and once TE team is recruited	M&E Focal Point at Commissioning Unit; Project Team	
2	Develop draft TE Inception Report and send to M&E Focal Point at Commissioning Unit	Immediately after briefing by Project Team and Commissioning Unit and review of project information package, as per agreed schedule	TE team	
3	Review draft TE Inception Report, send consolidated comments to TE team	Immediately upon receipt	M&E Focal Point at Commissioning Unit	Programme Officer at Commissioning Unit, RTA, Project Team, Regional M&E Advisor
4	Finalize TE Inception Report	As per agreed dates in ToR and no later than 2 weeks before start of TE mission	TE team	

5	Share final TE Inception Report with GEF OFP and relevant stakeholders	Once TE Inception Report is finalized	M&E Focal Point at Commissioning Unit	
6	Process first payment to TE team	Upon submission and approval of final TE Inception Report	M&E Focal Point at Commissioning Unit	
7	Undertake TE mission, interviews, site visits	As per agreed dates in ToR and TE Inception Report	TE team	
8	Present initial TE findings to Commissioning Unit, Project Team, Implementing Partner, other stakeholders	Typically, on last day of TE mission	TE team	
9	Debrief GEF OFP	After end of TE mission	Programme Officer at Commissioning Unit	

Summary of actions: Post TE Mission Phase				
	Action	Timeframe	Responsible Party	Contributors
1	Submit draft TE report to M&E Focal Point at Commissioning Unit	As per agreed schedule and no later than 3 weeks after end of TE mission	TE team	
2	Process second payment to TE team	Upon receipt of draft TE report	M&E Focal Point at Commissioning Unit	
3	Review TE report and return consolidated comments in an Audit Trail to TE team	Immediately upon receipt of draft; return comments within agreed timeframe in ToR and TE Inception Report	M&E Focal Point at Commissioning Unit	Project Team, Programme Officer at Commissioning Unit, Implementing Partner, Project Team, RTA, GEF OFP, Regional M&E Advisor, other stakeholders, as relevant
4	Draft management response	While draft TE report is being circulated for comments	M&E Focal Point at Commissioning Unit	Project Team, Programme Officer at

				Commissioning Unit, RTA, Implementing Partner, GEF OFP
5	Finalize TE report and respond to each comment in Audit Trail; Submit both documents to Commissioning Unit	As per agreed dates in the ToR and TE Inception Report and no later than 1 week of receiving comments	TE team	
6	Approve final TE Report by signing TE Report Clearance form	No later than agreed expected completion date of TE	M&E Focal Point at Commissioning Unit; RTA	
7	Arrange for English translation of final TE report, if necessary	While draft TE report is circulated for comments so that translation can take place immediately after final TE report is approved	M&E Focal Point at Commissioning Unit	
8	Process final payment to TE team	Immediately after signatures on TE Report Clearance Form	M&E Focal Point at Commissioning Unit	
9	Upload approved TE report to ERC	Immediately after TE Report Clearance form is signed	M&E Focal Point at Commissioning Unit	
10	Clear uploaded TE report in ERC in order for it to publicly appear	As per schedule at Regional Hub	Regional M&E Advisor	
11	Brief Project Board on main findings and recommendations from TE report, and management response	Immediately after TE Report Clearance Form is signed	Project Team	
12	Organize concluding Stakeholder Workshop	After TE Report Clearance Form is signed	Commissioning Unit and Project Team	
13	Ensure final TE report is distributed to GEF OFP and other stakeholders	Within 4 months of TE report completion	M&E Focal Point & Programme Officer at Commissioning Unit	

14	Upload final management response to ERC	Within 6 weeks of TE report completion	M&E Focal Point at Commissioning Unit	
15	Clear uploaded management response in ERC in order for it to publicly appear	As per schedule at Regional Hub	Regional M&E Advisor	
16	Review management response's action items and update ERC accordingly	Quarterly until all actions are completed	M&E Focal Point at Commissioning Unit	
17	Quality assess TE	Annually (as part of exercise to quality assess all UNDP decentralized evaluations)	UNDP IEO	

Annex 9. Summary of Rating Scales

Monitoring & Evaluation Ratings Scale

Rating	Description
6 = Highly Satisfactory (HS)	There were no short comings; quality of M&E design/implementation exceeded expectations
5 = Satisfactory (S)	There were minor shortcomings; quality of M&E design/implementation met expectations
4 = Moderately Satisfactory (MS)	There were moderate shortcomings; quality of M&E design/implementation more or less met expectations
3 = Moderately Unsatisfactory (MU)	There were significant shortcomings; quality of M&E design/implementation was somewhat lower than expected
2 = Unsatisfactory (U)	There were major shortcomings; quality of M&E design/implementation was substantially lower than expected
1 = Highly Unsatisfactory (HU)	There were severe shortcomings in M&E design/implementation
Unable to Assess (UA)	The available information does not allow an assessment of the quality of M&E design/implementation.

Implementation/Oversight and Execution Ratings Scale

Rating	Description
6 = Highly Satisfactory (HS)	There were no shortcomings; quality of implementation/execution exceeded expectations
5 = Satisfactory (S)	There were no or minor shortcomings; quality of implementation/execution met expectations.
4 = Moderately Satisfactory (MS)	There were some shortcomings; quality of implementation/execution more or less met expectations.
3 = Moderately Unsatisfactory (MU)	There were significant shortcomings; quality of implementation/execution was somewhat lower than expected
2 = Unsatisfactory (U)	There were major shortcomings; quality of implementation/execution was substantially lower than expected
1 = Highly Unsatisfactory (HU)	There were severe shortcomings in quality of implementation/execution
Unable to Assess (UA)	The available information does not allow an assessment of the quality of implementation and execution

Outcome Ratings Scale - Relevance, Effectiveness, Efficiency

Rating	Description
6 = Highly Satisfactory (HS)	Level of outcomes achieved clearly exceeds expectations and/or there were no shortcomings
5 = Satisfactory (S)	Level of outcomes achieved was as expected and/or there were no or minor shortcomings
4 = Moderately Satisfactory (MS)	Level of outcomes achieved more or less as expected and/or there were moderate shortcomings.
3 = Moderately Unsatisfactory (MU)	Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings
2 = Unsatisfactory (U)	Level of outcomes achieved substantially lower than expected and/or there were major shortcomings.
1 = Highly Unsatisfactory (HU)	Only a negligible level of outcomes achieved and/or there were severe shortcomings
Unable to Assess (UA)	The available information does not allow an assessment of the level of outcome achievements

Sustainability Ratings Scale

Ratings	Description
4 = Likely (L)	There are little or no risks to sustainability
3 = Moderately Likely (ML)	There are moderate risks to sustainability
2 = Moderately Unlikely (MU)	There are significant risks to sustainability
1 = Unlikely (U)	There are severe risks to sustainability
Unable to Assess (UA)	Unable to assess the expected incidence and magnitude of risks to sustainability

GUIDANCE FOR CONDUCTING TERMINAL EVALUATIONS OF UNDP-SUPPORTED GEF-FINANCED PROJECTS

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