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Terms of Reference

Terminal Evaluation of the Project Entitled “Strengthening Management Effectiveness and Generating Multiple Environmental Benefits within and around the Greater Kafue National Park and West-Lunga National Park in Zambia”

INTRODUCTION

In accordance with the UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the project “Strengthening Management Effectiveness and Generating Multiple Environmental Benefits Within and Around the Greater Kafue National Park and West Lunga National Park in Zambia” (PIMS 4625)

The essential of the project to be evaluated are as follows:

Project Title:	Strengthening Management Effectiveness and Generating Multiple Environmental Benefits Within and Around the Greater Kafue National Park and West Lunga National Park in Zambia			
GEF Project ID:	4639		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	PIMS4625	GEF financing:	US\$ 13,148,864	US\$ 13,148,864.00

Country:	ZAMBIA	IA/EA own:	US\$ 3,040,000	730,794.05
Region:	Southern Africa	Government:	US\$ 37,396,777	25,793,859.12
Focal Area:	Multi Focal Area	Other: Norway The Nature Conservancy NGO WWF	US\$ 5,000,000 US\$ 1,100,000 US\$ 400,000	11,457,760.00 7,422,747.29 330,000.00
FA Objectives, (OP/SP):	Biodiversity -1: Improve Sustainability of Protected Areas Systems Climate Change Mitigation – 5: Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-use change and forestry Land Degradation – 3: Integrated Landscapes: Reduce pressure on natural resources from competing land uses in the wider landscape Sustainable Forest Management REDD+1: Reduce pressure on forest resources and generate sustainable flows of forest ecosystem services	Total co-financing:	US\$ 46,936,777	
Executing Agency:	Department of National Parks and Wildlife (former Zambia Wildlife Authority) & Forestry Department	Total Project Cost:	US\$60,085,641	US\$45,740,160.46
Other Partners involved:	1. Conservation Farming Unit 2. The Nature Conservancy 3. Community Markets for Conservation	ProDoc Signature (date project began):		16/05/2014
		(Operational) Closing Date:	Proposed: 15/05/2019	Actual: 15/11/ 2020

OBJECTIVE AND SCOPE

The project objective is biodiversity and carbon sinks of Kafue/West Lunga protected area systems of Zambia are better protected from threats and effectively managed by national and local institutions, communities and economic actors using sustainable forestry and land management practices. The project is being implemented through two components:

- **Component 1:** Increased management effectiveness and financial sustainability of Greater Kafue and West Lunga Protected Areas systems.

This Component has four outputs, namely; 1. To develop a strategy for improved management effectiveness and increased revenues for Kafue and West Lunga National Parks; 2. Increased Protected Areas (PA) revenue through capacity building of PA staff in financial and economic assessment to develop a financial and economic plan; 3. Strengthening management operations (patrolling, wildlife monitoring, fire control, support to Community Based Natural Resources Management (CBNRM) and performance effectiveness and; 4. Management and monitoring of fire, biodiversity and water.

- **Component 2:** Sustainable land and forest management by “Community Participatory Models” in Game Management Areas (GMA) buffer areas through selected Community Based Natural Resources Management (CBNRM) practices”.

This Component has two major outputs, namely; 1. Land use governance and planning in Game Management Areas (GMAs) strengthened; and 2. Land and forest resources managed more sustainably.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects. The established methodology of data collection will be adapted slightly to accommodate restrictions on travel and face-to-face meetings due to COVID-19 management measures that have been instituted in Zambia and globally.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

EVALUATION APPROACH AND METHOD

An overall approach and method¹ for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects (see *Annex C* to this TOR). A set of questions covering each of these criteria must be drafted into an evaluative matrix, which the evaluator is expected to amend, complete and submit as part of an inception report, and must include as an annex to the final terminal evaluation report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. Wherever possible, results will be verified and ground-truthed through consultations and a field mission to the Kafue and West Lunga areas. Usually, the field mission is conducted by both members of the evaluation team. However, given uncertainty regarding global travel, and possible restrictions that may still be in place in Zambia due to COVID-19 containment measures, it may not be possible for the international consultant to participate in the field mission and the field verification may have to be approached differently. The interview schedule will also need to be adjusted to incorporate virtual consultations as much as possible. These issues will be discussed and agreed finally during an inception meeting. The specific areas to be visited include *Kafue National and West Lunga National Parks and Surrounding Game Management Areas* including the following project sites: in Mwinilunga, Kasempa, Mumbwa and Kasempa. Interviews will be held with the following organizations and individuals at a minimum: beneficiary households, Village Action Groups (VAGs) Community Resource Boards, Traditional Leaders, Project Implementing Partners, The Nature Conservancy, Conservation Farming Unit, Community Markets for Conservation and Ministry of Lands and Natural Resources.

The evaluator(s) will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, mid-term review, , progress reports, GEF focal area tracking tools, project files, national strategic, National Development Plan and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework in [Annex A](#), which provides performance and impact indicators for project

¹ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

Evaluation Ratings:			
1. Monitoring and Evaluation	<i>rating</i>	2. IA& EA Execution	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	<i>rating</i>	4. Sustainability	<i>rating</i>
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental:	
		Overall likelihood of sustainability:	

PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other (e.g. parallel investments)								
Totals								

MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.²

CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons**. Conclusions should build on findings and be based in evidence. Recommendations should be prioritized, specific, relevant, and targeted, and should indicate which agencies or individuals will be responsible for implementation, and relevant timeframes. The lessons learned from the project should have wider applicability to other initiatives across the region, the area of intervention, and for the future.

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in Zambia in close collaboration with IPs. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country or provide necessary internet connectivity for virtual meetings needed by the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government and other stakeholders. This component of the work will require careful advance planning to accommodate possible constraints imposed by COVID-19-related restrictions on travel and gatherings, should these still be in effect at the time the TE is conducted.

² A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

EVALUATION TIMEFRAME

The total duration of the evaluation will be 36 days, spread over a period of 57 days, according to the following plan:

Activity	Timing	Completion Date
Preparations and presentation of Inception report	4 days	<i>13th July 2020</i>
Evaluation Mission (Final details to be discussed and agreed before the Inception Report is prepared)	20 days	<i>8th August 2020</i>
Draft Evaluation Report	10 days	<i>21st August 2020</i>
Final Report	2 days	<i>7th September 2020</i>

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluators provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Team leader submits to UNDP CO
Presentation	Initial Findings	End of evaluation mission	To project management, UNDP CO
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

TEAM COMPOSITION

The evaluation team will be composed of one international consultant, and one local consultant. Experience with GEF financed projects is an advantage to both. The international consultant will be the team leader and will be responsible for guiding the entire evaluation process and finalizing the report. He/she will work remotely depending on the COVID 19 situation. The local consultant will be responsible for collection of all in-country data that cannot be collected remotely, including field work, where this is possible. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

REQUIREMENTS

The Local Consultant must present the following qualifications:

- Minimum of a Masters Degree in Development Studies, International Development, Environmental Economics, Natural Resources Management, Geography, Forestry, Social Sciences, Policy Analysis, or related field;
- Minimum 10 years of relevant professional experience working in Zambia on protected areas systems and social-biodiversity issues;
- The candidate must have experience in participatory protected area management implementation processes, as well as knowledge and experience in community-based natural resource management in Southern Africa, REDD+ and Sustainable Forest Management;
- Competence in adaptive management as applied to Biodiversity; Climate Change Mitigation; and Land degradation focal areas. Demonstrated understanding of the focal areas in relation to Gender, will be an added advantage;
- Knowledge and understanding of the target area is an added advantage;
- Knowledge of UNDP and GEF;
- Previous experience with results-based monitoring and evaluation methodologies;
- Minimum 10 years of evaluation experience and knowledge of natural resources management sector and biodiversity policies and issues;
- Demonstrated analytical skills, clarity in writing, ability in translating abstract concepts into concrete actions/recommendations;
- Proficiency in both written and spoken English.

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
10%	At Approval of Inception Report
40%	Following submission and approval of the 1 st draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

APPLICATION PROCESS

Applicants are requested to apply online by **28/06/2020**. Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs).

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

ANNEX A: PROJECT LOGICAL FRAMEWORK

1. Project Results Framework

<p>This project will contribute to achieving the following Country Programme Outcome as defined in the UNDAF, CPAP and UNDP Strategic Plan for Zambia</p> <p><i>UNDAF : Outcome 4: is expected to contribute to the reduction of people's vulnerability from the risks of climate change, disasters and environmental Degradation</i></p> <p><i>CPAP Outcome 1: Government. promotes adaptation and provides mitigation measures to protect livelihoods from climate change</i></p> <p><i>CPAP Outcome 2: Government implements policies and legal frameworks for sustainable community based natural resources management.</i></p>
<p>Country Programme Outcome Indicators:</p> <p><i>% increase in the area brought under effective management of PA system</i></p> <p><i>% reduction in annual average deforestation rate</i></p>
<p>Primary applicable Key Environment and Sustainable Development</p> <p>Key Result Area: Government implements policies & legal frameworks for sustainable community based natural resources management</p>
<p>Applicable GEF Strategic Objective and Program:</p> <p>BD-1: Improve Sustainability of Protected Areas</p> <p>Outcome 1.1 Improved management effectiveness of existing and new protected areas.</p> <p>Output - New protected areas (number) and coverage (hectares) of unprotected ecosystems.</p> <p>Outcome 1.2 Increased revenue for protected area systems to meet total expenditures required for management</p> <p>Output - Sustainable financing plans (number)</p> <p>CCM-5: Promote conservation of carbon stocks through sustainable management of land use, land-use change and forestry</p> <p>Outcome 5.1. Good management practices in LULUCF adopted both within the forest land and in the wider landscape</p> <p>Outcome 5.2. GHG emissions avoided and carbon sequestered</p> <p>Output - Carbon stock monitoring systems established</p> <p>Output - Forests and non-forest lands under good management practices</p> <p>LD-3: Integrated Landscapes: Reduce pressures on natural resources from competing land uses in the wider landscape</p> <p>Outcome 3.1 Enhanced cross-sector enabling environment for integrated landscape management</p> <p>Output - Integrated land management plans developed and implemented</p> <p>Outcome 3.2 Integrated landscape management practices adopted by local communities</p> <p>Output - Information on INRM technologies and good practice guidelines disseminated</p> <p>SFM REDD+1: Reduce pressures on forest resources and generate sustainable flows of forest ecosystem services</p> <p>Outcome 1.1: Enhanced enabling environment within the forest sector and across sectors</p> <p>Outcome 1.2: Good management practices applied in existing forests</p> <p>Outcome 1.3 Good management practices adopted by relevant economic actors.</p> <p>Output - Forest area under sustainable management, separated by forest type</p> <p>Output - Types and quantity of services generated through SFM Forest area (hectares) under sustainable management</p>
<p>Applicable GEF Expected Outcomes: As per project framework on page 1 of the CEO Request</p>
<p>Applicable GEF Outcome Indicators: As per project framework on page 1 of the CEO Request</p>

Project Strategy	Objectively Verifiable Indicators	Baseline	Target ³
Objective: Biodiversity and carbon sinks of Greater Kafue / West Lunga in Zambia are better protected from threats and effectively managed by local institutions, communities, and economic actors using sustainable forestry and land management practices.	Sustainable Land and Forest Management established in Miombo Woodland and Dry Evergreen Forest ecosystems in PA Core areas and Community managed GMAs and conservancies enabling forest corridor connectivity between WLNP and KNP in the long term	24,164 km ² (PA Core areas)	24,164 km ² PA+ 41,297 km ² GMAs = 65,461 km ² (Target GMAs consisting of Mumbwa, Namwala, Mufunta, Kasonso-Busanga, and Lunga-Luswishi in Greater Kafue NP, and Lukwawa, Musele- Matembo and Chibwika-Ntambu in West Lunga Management Area)
Component 1. Increased management effectiveness and financial sustainability of Greater Kafue and West Lunga PA system	1. Increase in Management Effectiveness Tracking Tool;	57% KNP (METPAZ 2010) 39% KNP GMAs (2010) 28% WLNP (2010) 20% WLNP GMAs (2010)	65% KNP 45% KNP GMAs 40% WLNP 30% WLNP GMAs
	2a. Wildlife stocking rates;	KNP=8.6% of carrying capacity (as per aerial survey 2008)	12% of carrying capacity in both KNP and productive GMAs
	2b. reduced area burned annually	KNP=56% (1.252 mill ha)	KNP=reduced by 50% (625,800 ha)
	2c. Reduced GHG emissions from fire	KNP=1,650,000 CO ₂ annually from late fires	KNP=825,000t CO ₂ reduced emissions annually ⁴
	3. Reduction in funding gap of the targeted National Parks moving up one category (based on REMNPAS financial viability assessment) with at least one new PPP formed (WLNP)	0 PPP in Greater KNP and WLNP revenues: approx \$600,000 in KNP	At least 1 PPP in each of core PAs of Greater WLNP and KNP at least \$850,000 revenues in KNP (increase by 10% per annum)
	4. PES maintaining watershed / river catchments by communities in KNP benefitting ZESCO	0	1 PES in KNP with ZESCO

³ The target timeframe for all indicators is by project end, unless otherwise stated.

⁴ Figures used to estimate fire emissions: annual CO₂ emitted per hectare due to fires IN LATE SEASON (as opposed to early season) = 1.32 tonnes CO₂/ha. Assuming 625,800 ha, project scenario reduces CO₂ emissions by 825,000 per annum.

Project Strategy	Objectively Verifiable Indicators	Baseline	Target ³
2. Sustainable land and forest management by “Community Conservancies” in GMA buffer areas through selected CBNRM practices	1a. “Community Conservancies” established	0 ha	- 557, 900 ha (5,579 km ²) of intact forest ecosystems established as community conservancies in targeted GMAs
	1b. VAGs legally established	0	At least 25 Village Action Groups (VAGs) in target areas formally recognized and constituted by Y2 with clear resource rights, delineation of legally recognized VAG boundaries and use zones, management structures and benefit sharing plans (in line with national REDD+ criteria)
	1c. ILUA plans completed for all VAGs	No ILUAs in place for VAGs (0)	Integrated Land Use Assessment plans developed for all VAGs
	1d. Women members in VAGs and improved livelihoods	Negligible women representation in governance structure in VAG areas	At least 40% female representation in all elected VAGs in project area; increased per capita / household income compared to 2012 baseline
	2. Conservation farming practices applied in targeted GMAs	0 ha using conservation farming techniques	At least 3,760 ha of conservation farming practiced by at least 1,600 HH (in 40 VAGs) by end of project.
	Increased yields		Introduction of conservation farming practices leads to improved soil organic matter and field intensification across 3,760 hectares leading to: - 40% reduction in cumulative CO ₂ emissions from vegetation clearance for agriculture in targeted areas resulting in 7,520 ha of avoided deforestation in targeted areas - Resulting decrease in direct lifetime avoided t CO ₂ emissions from clearance of vegetation for agriculture (20 years) in that same landscape = 988,128 tCO ₂ e compared to BAU scenario

Project Strategy	Objectively Verifiable Indicators	Baseline	Target ³
	3. Demonstration of avoided deforestation (no net loss) in at least 25 VAGs establishing REDD pilots linking to national and/or voluntary carbon financing	0 ha / no REDD+ pilots in VAGs	<ul style="list-style-type: none"> - 25,000 ha leveraging additional 75,000 ha (intact forest) by protecting VAG designated forest zones - VCS and CCB standard acceptable to international brokers certifying REDD pilots and marketing for carbon financing - Potential buyers identified to purchase the REDD+ carbon credits from the VAG pilots
	4. Reduced rate of deforestation from fuel wood extraction in all targeted GMAs	<p><i>Unsustainable firewood collection and SFM governance</i></p> <ul style="list-style-type: none"> - Wood fuel collection in designated areas is ad-hoc and unsustainable - No sustainable woodlots exist in targeted areas - Knowledge of coppicing practices for fuel wood extraction among communities in targeted areas is very low 	<ul style="list-style-type: none"> - Under the project designated zones for fuel wood collection will be established optimizing SFM (and testing different ‘treatments’) - Working with the Copperbelt University, the 25 VAGs will be trained in harvesting and coppice management and will each establish an auditable fuel wood use and CFM plan. - Linked to land use planning, experimental fuel wood management and collection zones will be established in 25 VAGs; systems boundaries for VAGs will be defined; and alternative operational modalities for fuel wood harvesting and use will be applied (including coppicing). <p>Leading to the following GEBs:</p> <ul style="list-style-type: none"> - Direct lifetime avoided emissions savings of 63,281 tCO₂e (20 years) compared to fuel wood usage in a BAU scenario
	5. Reduced rate of deforestation from late season fires in targeted GMA zones	<p><i>Late season fires and poor fire management monitoring and practices in all targeted GMA zones</i></p> <ul style="list-style-type: none"> - 174,671 ha of forests burned in late-season fires 	<ul style="list-style-type: none"> - Land use and forest conservation plans will be developed and adopted by all VAGs, supported and monitored by Kafue Central Business Unit (CBU) - Forest and wildlife patrolling and protection will be done by Village

Project Strategy	Objectively Verifiable Indicators	Baseline	Target ³
		<p>annually in GMA areas in KNP</p> <p>- 627,088 ha of forests burned in late-season fires annually in PA zones of KNP</p> <p>- Annual estimated CO2 emissions from fire in GMA zones of KNP = 230,566 tCO2e per annum</p> <p>- Annual estimated CO2 emissions from fire in PA parts of KNP = 827,756 tCO2e per annum</p>	<p>Scouts in all targeted GMAs</p> <p>- Fire control action plans will be adopted and put in use in all VAGs</p> <p>- As a result fire losses will be reduced by at least 30% in GMA zones annually through fire protection practices (boundary and firebreak management, early burning, etc), land use planning, patrolling and education</p> <p>The resulting direct lifetime avoided t CO2 emissions (over 20 years) from these activities compared to a BAU scenario (in GMA zones) = 1,383,394 tCO2e</p>

ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

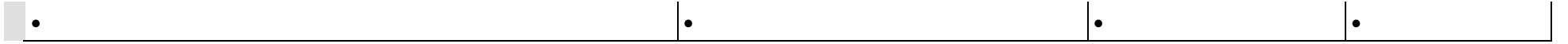
1. GEF Project Information Form (PIF), Log frame analysis (LFA)
2. UNDP Initiation Plan
3. Implementing/Executing partner arrangements
4. List and contact details for project staff, key project stakeholders, including Project boards, and other partners to be consulted
5. Project budget and financial data
6. UNDP Environmental and Social Screening results
7. Project Document
8. Project Inception Report
9. All Project Implementation Reports (PIR's)
10. Mid Term Evaluation Report
11. Management Response Action Plan for MTR
12. Project Implementation Acceleration Strategy
13. Quarterly Progress Reports
14. Annual Reports (2014, 2015, 2016, 2017, 2018, 2019)

15. Annual Workplans and Budgets (2014, 2015, 2016, 2017, 2018, 2019)
16. Gender Mainstreaming Analysis Report
17. Audit reports
18. Audit Action Plan
19. Finalized GEF focal area Tracking Tools at baseline, and at midterm (Biodiversity; Climate Change Mitigation; Sustainable Forestry Management/REDD-Plus and Land Degradation)
20. METTPAZ Reports (2016, 2018)
21. Oversight mission reports
22. All monitoring reports prepared by the project
23. Financial and Administration guidelines used by Project Team
24. Lesson Learning Report on REDD+ in Mozambique
25. Learning Visit Report on Community Conservancies in Namibia
26. Training Needs Assessment Report
27. Quarterly and Annual Reports by CFU and TNC
28. Socio-economic Study Report by CFU
29. Minutes of SGP Steering Committee
30. Minutes of Quarterly Review Meetings
31. Minutes of Technical Committee Meetings
32. Minutes of Steering Committee Meetings
33. Project operational guidelines, manuals and systems
34. UNDP country programme document (CPD)
35. UNDP Country Programme Action Plan (CPAP)
36. GEF focal area strategic program objectives
37. Project site location maps, highlighting suggested visits

ANNEX C: EVALUATION QUESTIONS

This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.

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 at the local, regional and national levels?			
•	•	•	•
•	•	•	•
•	•	•	•
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, social-economic, and/or environmental risks to sustaining long-term project results?			
•	•	•	•
•	•	•	•
•	•	•	•
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
•	•	•	•



ANNEX D: RATING SCALES

<p>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</p> <p>6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems</p>	<p>Sustainability ratings:</p> <p>4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks</p>	<p>Relevance ratings</p> <p>2. Relevant (R) 1.. Not relevant (NR)</p> <p>Impact Ratings:</p> <p>3. Significant (S) 2. Minimal (M) 1. Negligible (N)</p>
<p><i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A)</p>		

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

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

Evaluation Consultant Agreement Form⁵

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

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

⁵www.unevaluation.org/unegcodeofconduct

Signed at *place* on *date*

Signature: _____

ANNEX F: EVALUATION REPORT OUTLINE⁶

- i.** Opening page:
 - Title of UNDP supported GEF financed project
 - UNDP and GEF project ID#s.
 - Evaluation time frame and date of evaluation report
 - Region and countries included in the project
 - GEF Operational Program/Strategic Program
 - Implementing Partner and other project partners
 - Evaluation team members
 - Acknowledgements
- ii.** Executive Summary
 - Project Summary Table
 - Project Description (brief)
 - Evaluation Rating Table
 - Summary of conclusions, recommendations and lessons
- iii.** Acronyms and Abbreviations
(See: UNDP Editorial Manual⁷)
- 1.** Introduction
 - Purpose of the evaluation
 - Scope & Methodology
 - Structure of the evaluation report
- 2.** Project description and development context
 - Project start and duration
 - Problems that the project sought to address
 - Immediate and development objectives of the project
 - Baseline Indicators established
 - Main stakeholders
 - Expected Results
- 3.** Findings
(In addition to a descriptive assessment, all criteria marked with (*) must be rated⁸)
- 3.1** Project Design / Formulation
 - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
 - Planned stakeholder participation
 - Replication approach
 - UNDP comparative advantage
 - Linkages between project and other interventions within the sector
 - Management arrangements
- 3.2** Project Implementation
 - Adaptive management (changes to the project design and project outputs during implementation)
 - Partnership arrangements (with relevant stakeholders involved in the country/region)
 - Feedback from M&E activities used for adaptive management

⁶The Report length should not exceed **40** pages in total (not including annexes).

⁷ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

⁸ Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- Project Finance:
 - Monitoring and evaluation: design at entry and implementation (*)
 - UNDP and Implementing Partner implementation / execution (*)
coordination, and operational issues
- 3.3** Project Results
- Overall results (attainment of objectives) (*)
 - Relevance (*)
 - Effectiveness & Efficiency (*)
 - Country ownership
 - Mainstreaming
 - Sustainability (*)
 - Impact
- 4.** Conclusions, Recommendations & Lessons
- Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives
 - Best and worst practices in addressing issues relating to relevance, performance and success
- 5.** Annexes
- ToR
 - Itinerary
 - List of persons interviewed
 - Summary of field visits
 - List of documents reviewed
 - Evaluation Question Matrix
 - Questionnaire used and summary of results
 - Evaluation Consultant Agreement Form
 - Annexed in a separate file: TE Audit Trial
 - Annexed in a separate file: Terminal GEF Tracking Tools