

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

Template 1 - 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-sized* project titled ***Increased Resilience to Climate Change in Northern Ghana through the Management of Water Resources and Diversification of Livelihoods (PIMS 4952)*** implemented through the *Ministry of Environment, Science, Technology and Innovation*. The project started on the *23 March 2016* and is in its *5<sup>th</sup>* 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’

[http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

## 2. PROJECT BACKGROUND AND CONTEXT

The Government of Ghana (GoG), with funding from the Adaptation Fund Board Secretariat is implementing a four-year project dubbed “Increased resilience to climate change in northern Ghana through the management of water resources and diversification of livelihoods”.

The project aims at addressing climate change-induced decreases in the availability and increasing unpredictability of water resources, and the associated negative impacts of these trends on the livelihoods of rural communities. It is expected to enhance the resilience and adaptive capacity of rural livelihoods to climate impacts and risks on water resources in Northern Ghana.

The objective of the project is expected to be achieved through key results centered on the improvement of water access and increase institutional capacity as well as coordination for integrated water management to support other uses of water resources especially for the diversification of livelihoods by rural communities. This will be done so by delivering the following three complementary outcomes:

- Outcome 1: Improved planning and management of water resources taking into account climate change impacts on surface and groundwater sources
- Outcome 2: Climate resilient management of water resources by communities in Northern Ghana
- Outcome 3: Enhanced diversification of livelihoods of communities in northern Ghana

The project is being executed by the Ministry of Environment, Science, Technology and Innovation (MESTI) of Ghana in partnership with the United Nations Development Programme (UNDP), with close cooperation with sectoral ministries and agencies, NGOs and the private sector. The project has been under implementation since May 2016 in selected districts and communities in the three (3) Northern regions of Ghana.

The Project target locations are in the Northern, Savannah, Upper East and West Regions of Ghana and is expected to directly benefit 60,000 as well as indirectly benefit over 8 million Ghanaians living along the Volta River Basin. In all ten (10) District Assemblies and a total of fifty (50) selected communities are benefitting directly from the project. The target project areas were selected based on an assessment of district vulnerability.

### **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. The project has over the past years since 2016 built partnerships among climate change key sectors/stakeholders at the national level and at the sub-national levels in Ghana. Recommendations from TE will therefore be useful in sustaining the various results and interventions undertaken under this project.

### **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 male and female 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 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.; 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. Due to COVID -19 and its resultant border closure and safety protocols, the TE will explore the use of virtual platforms for stakeholder meetings and interviews. Additionally, the TE team is expected to conduct field missions to Northern Savannah regions of Ghana including the following project sites: Savelugu, Bole, Zabzagu, Bawku, Builsa, Bawku West, Nandom, Sisala *East, Nadowli and Bongo districts.*

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 Human rights and gender-responsive methodologies and tools to 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.

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 ([http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)). The TE is expected to be undertaken in 30 days within the period September to October 2020. It shall cover issues related to the various components of the project mentioned in paragraph 2 above.

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. Project Design/Formulation

- National priorities and country driven-ness
- Theory of Change
- Gender equality and women's empowerment
- Social and Environmental Standards (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. 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 (Safeguards)
- Any impact of COVID-19

### iii. 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
- Any impact of COVID-19

### iv. 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: Evaluation Ratings Table for *(Increased Resilience to Climate Change in Northern Ghana through the Management of Water Resources and Diversification of Livelihoods)***

Monitoring & Evaluation (M&E)	Rating <sup>1</sup>
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
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 *(30 working days)* over a time period of *(10weeks)* starting on *October 5<sup>th</sup> 2020*. The tentative TE timeframe is as follows:

Timeframe	Activity
<i>23<sup>rd</sup> September</i>	Application closes
<i>30<sup>th</sup> September</i>	Selection of TE Consultant
<i>5<sup>th</sup> October</i>	Preparation period for TE team (handover of documentation)
<i>6<sup>th</sup> to 9<sup>th</sup> October</i>	Document review and preparation of TE Inception Report
<i>16<sup>th</sup> October</i>	Finalization and Validation of TE Inception Report; latest start of TE mission
<i>19<sup>th</sup> – 29<sup>th</sup> October</i>	TE mission: stakeholder meetings, interviews, field visits, etc.
<i>30<sup>th</sup> October</i>	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
<i>2<sup>nd</sup> - 9<sup>th</sup> November</i>	Preparation of draft TE report
<i>By 20<sup>th</sup> November</i>	Circulation of draft TE report for comments

<sup>1</sup> 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)

By 25 <sup>th</sup> November	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
By 30 <sup>th</sup> November	Preparation and Issuance of Management Response
N/A	Concluding Stakeholder Workshop (optional)
4 <sup>th</sup> December	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: <i>(By 16<sup>th</sup> October)</i>	TE team submits Inception Report to Commissioning Unit and project management
2	Presentation	Initial Findings	End of TE mission: <i>(by 30th October)</i>	TE team presents to Commissioning Unit and project management
3	Draft TE Report	Full draft report <i>(using guidelines on report content in ToR Annex C)</i> with annexes	Within 3 weeks of end of TE mission: <i>20<sup>th</sup> November)</i>	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 <i>(See template in ToR Annex H)</i>	Within 1 week of receiving comments on draft report: <i>(by 25<sup>th</sup> November)</i>	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.<sup>2</sup>

## 8. TE ARRANGEMENTS

The principal responsibility for managing the TE resides with the UNDP Ghana Office. The UNDP Ghana Office 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 with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

## 9. TE TEAM COMPOSITION

<sup>2</sup> Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

The evaluation shall be carried out by a team of external (1) and local(1) consultants. The International Consultant, the team leader, will work closely with the National Consultant. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The National Consultant will support the International Consultant who will have the overall responsibility for the conduct of the evaluation exercise as well as quality and timely submission of reports (inception, draft, final etc). The International Consultant will be accountable to UNDP for the delivery results on this assignment. 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 the national consultant will be aimed at maximizing the overall qualities in the following areas:

**The National consultant qualifications:**

- A Master's degree in Climate Change, Natural Resource Management, Environmental Management/Science, Development Studies, or other closely related field (10pts)
- Minimum of 7 years of professional experience in the technical areas of the project, with demonstrated understanding of national policies and practice of Climate Change and Adaptation (40pts)
- Recent experience with evaluating projects with result-based monitoring and evaluation methodologies and in applying SMART indicators (30pts).
- Knowledge and experience in evaluating development projects, specific experience in UNDP and GEF project Evaluation (20pts)

**National Consultant competencies**

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to Climate Change Adaptation focal area;
- Experience in working with GEF or GEF – evaluations
- An understanding of issues related to gender and GEF focal areas; experience in gender sensitive evaluation and analysis;
- Excellent communication skill of the local languages;
- Excellent analytical and communication skills;

Language

- Fluency in written and spoken English.

## **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%<sup>3</sup>:

- 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 to and justification for each comment listed.

## 12. APPLICATION PROCESS<sup>4</sup>

Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)<sup>5</sup> provided by UNDP;
- b) **CV** and a **Personal History Form** ([P11 form](#))<sup>6</sup>;
- 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.

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<sup>3</sup> 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](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default)

<sup>4</sup> Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP

<https://popp.undp.org/SitePages/POPPRoot.aspx>

<sup>5</sup><https://intranet.undp.org/unit/bom/psu/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

<sup>6</sup> [http://www.undp.org/content/dam/undp/library/corporate/Careers/P11\\_Personal\\_history\\_form.doc](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)



All application materials should be submitted to the following email address ONLY: [bids.gh@undp.org](mailto:bids.gh@undp.org). by (4:3PM GMT, 11<sup>th</sup> September indicating the following reference “Consultant for Terminal Evaluation of AF Project in Ghana” .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.

Criteria	Weight	Max. Point
<b>Technical Competence</b>	<b>70%</b>	<b>100</b>
Educational qualifications		10
Experience in carrying out Terminal Evaluations related to climate change adaptation		30
Experience in conducting evaluation related field missions		10
Review of previous reports submitted		20
<b>Financial (Lower Offer/Offer*100)</b>	<b>30%</b>	<b>100</b>
<b>Total Score</b>	<b>Technical Score * 70% + Financial Score * 30%</b>	

### 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

## ToR Annex A: Project Logical/Results Framework

Project Objective(s)	Project Objective Indicator(s)	Fund Outcome	Fund Outcome Indicator
To enhance the resilience and the adaptive capacity of rural livelihoods to climate risks on water resources in the northern region of Ghana.	Number of communities with the adaptive capacity to climate risks	<b>Outcome 2:</b> Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	2.1. No. and type of targeted institutions with increased capacity to minimize exposure to climate variability risks
To enhance the resilience and the adaptive capacity of rural livelihoods to climate risks on water resources in the northern region of Ghana.	Number of communities with the adaptive capacity to climate risks	<b>Outcome 3:</b> Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	3.1. Percentage of targeted population aware of predicted adverse impacts of climate change, and of appropriate responses
To enhance the resilience and the adaptive capacity of rural livelihoods to climate risks on water resources in the northern region of Ghana.	Number of communities with the adaptive capacity to climate risks	<b>Outcome 4:</b> Increased adaptive capacity within relevant development and natural resource sectors	4.2. Physical infrastructure improved to withstand climate change and variability-induced stress
To enhance the resilience and the adaptive capacity of rural livelihoods to climate risks on water resources in the northern region of Ghana.	Number of communities with the adaptive capacity to climate risks	<b>Outcome 6:</b> Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	6.1 Percentage of households and communities having more secure (increased) access to livelihood assets
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator
<b>Outcome 2:</b> Outcome 2: Climate resilient management of water resources by at least 50 communities in northern Ghana	Percentage of population with improved water management practices resilient to climate change impacts in the targeted regions.	<b>Output 3:</b> Targeted population groups participating in adaptation and risk reduction awareness activities	3.1.1 No. and type of risk reduction actions or strategies introduced at local level
<b>Outcome 2:</b> Climate resilient management of water resources by at least 50 communities in northern Ghana	Percentage of population with improved water management practices resilient to climate change impacts in the targeted regions.	<b>Output 4:</b> Vulnerable physical, natural, and social assets strengthened in response to climate change impacts, including variability	4.1.2. No. of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (by asset types)
<b>Outcome 3:</b> Enhanced diversification of livelihoods under climate change by at least 50 communities in northern Ghana	Number of communities with livelihoods diversified to provide resilience to climate change impacts	<b>Output 6:</b> Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	6.1.2. Type of income sources for households generated under climate change scenario

<sup>7</sup>The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology but the overall principle should still apply

## ToR Annex B: Project Information Package to be reviewed by TE team

#	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
	<i>Additional documents, as required</i>

## ToR Annex C: Content of the TE report

- i. 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
- iv. Acronyms and Abbreviations
  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  
(in addition to a descriptive assessment, all criteria marked with (\*) must be given a rating<sup>8</sup>)
    - 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

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<sup>8</sup> See ToR Annex F for rating scales.

- 4.1 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 (\*)
  - UNDP implementation/oversight (\*) and Implementing Partner execution (\*), overall project implementation/execution (\*), coordination, and operational issues
  - Risk Management, including Social and Environmental Standards (Safeguards)
- 4.2 Project Results and Impacts
  - Progress towards objective and expected outcomes (\*)
  - Relevance (\*)
  - Effectiveness (\*)
  - Efficiency (\*)
  - Overall Outcome (\*)
  - Sustainability: financial (\*), socio-economic (\*), 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 & 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 include 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 terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools, as applicable

## ToR Annex D: Evaluation Criteria Matrix template

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

## ToR Annex E: UNEG Code of Conduct for Evaluators

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: \_\_\_\_\_

## ToR Annex F: TE Rating Scales

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

## ToR Annex G: TE Report Clearance Form

<b>Terminal Evaluation Report for <i>(Project Title &amp; UNDP PIMS ID)</i> Reviewed and Cleared By:</b>	
<b>Commissioning Unit (M&amp;E Focal Point)</b>	
Name: _____	
Signature: _____	Date: _____
<b>Regional Technical Advisor (Nature, Climate and Energy)</b>	
Name: _____	
Signature: _____	Date: _____



## ToR Annex H: TE Audit Trail

To the comments received on *(date)* from the Terminal Evaluation of *(Increased Resilience to Climate Change in Northern Ghana through the Management of Water Resources and Diversification of Livelihoods)* (UNDP Project PIMS #4952)

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

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

Template 2 - formatted for the [UNDP Jobs website](#)

## **BASIC CONTRACT INFORMATION**

Location: Accra

Application Deadline: 23<sup>rd</sup> September

Type of Contract: Individual consultant

Assignment Type: Terminal Evaluation

Languages Required: English

Starting Date: 5<sup>th</sup> October 2020

Duration of Initial Contract: 30 days

Expected Duration of Assignment: 30 days

## **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-sized* project titled ***Increased Resilience to Climate Change in Northern Ghana through the Management of Water Resources and Diversification of Livelihoods (PIMS 4952)*** implemented through the *Ministry of Environment, Science, Technology and Innovation*. The project started on the *23 March 2016* and is in its *5<sup>th</sup>* 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'

[http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

### **2. Project Description**

*The Government of Ghana (GoG), with funding from the Adaptation Fund Board Secretariat is implementing a four-year project dubbed "Increased resilience to climate change in northern Ghana through the management of water resources and diversification of livelihoods".*

The project aims at addressing climate change-induced decreases in the availability and increasing unpredictability of water resources, and the associated negative impacts of these trends on the livelihoods of rural communities. It is expected to enhance the resilience and adaptive capacity of rural livelihoods to climate impacts and risks on water resources in Northern Ghana.

The objective of the project is expected to be achieved through key results centered on the improvement of water access and increase institutional capacity as well as coordination for integrated water management to support other uses of water resources especially for the diversification of livelihoods by rural communities. This will be done so by delivering the following three complementary outcomes:

- Outcome 1: Improved planning and management of water resources taking into account climate change impacts on surface and groundwater sources
- Outcome 2: Climate resilient management of water resources by communities in Northern Ghana

- Outcome 3: Enhanced diversification of livelihoods of communities in northern Ghana

The project is being executed by the Ministry of Environment, Science, Technology and Innovation (MESTI) of Ghana in partnership with the United Nations Development Programme (UNDP), with close cooperation with sectoral ministries and agencies, NGOs and the private sector. The project has been under implementation since May 2016 in selected districts and communities in the three (3) Northern regions of Ghana.

The Project target locations are in the Northern, Savannah, Upper East and West Regions of Ghana and is expected to directly benefit 60,000 as well as indirectly benefit over 8 million Ghanaians living along the Volta River Basin. In all ten (10) District Assemblies and a total of fifty (50) selected communities are benefitting directly from the project. The target project areas were selected based on an assessment of district vulnerability.

### **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. The project has over the past years since 2016 built partnerships among climate change key sectors/stakeholders at the national level and at the sub-national levels in Ghana. Recommendations from TE will therefore be useful in sustaining the various results and interventions undertaken under this project.

## **DUTIES AND RESPONSIBILITIES**

### **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 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.; 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. Due to COVID -19 and its resultant border closure and safety protocols, the TE will explore the use of virtual platforms for stakeholder meetings and interviews. Additionally, the TE team is

expected to conduct field missions to Northern Savannah regions of Ghana including the following project sites: Savelugu, Bole, Zabzagu, Bawku, Builsa, Bawku West, Nandom, Sisala East, Nadowli and Bongo districts.

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.

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

([http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)).

The TE is expected to be undertaken within 30 days from September to October 2020. It shall cover issues related to the various components of the project mentioned in paragraph 2 above.

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. Project Design/Formulation
  - National priorities and country driven-ness
  - Theory of Change
  - Gender equality and women's empowerment
  - Social and Environmental Standards (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. 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 (Safeguards)
- Any Impact from COVID-19

iii. 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
- Any impact of COVID-19

iv. 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 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 UNDP Ghana and project management. Approximate due date: *(by 16 October)*
- Presentation: TE team presents initial findings to project management and the UNDP Ghana Office at the end of the TE mission. Approximate due date: *(30<sup>th</sup> October)*
- Draft TE Report: TE team submits full draft report with annexes *within 3 weeks* of the end of the TE mission. Approximate due date: *(20<sup>th</sup> November)*
- 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: *(25<sup>th</sup> November)*

\*The final TE report must be in English. If applicable, the UNDP Ghana office 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.<sup>9</sup>

## 7. TE Arrangements

The principal responsibility for managing the TE resides with the UNDP Ghana Office. The UNDP Ghana Office 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 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 *(30 working days)* over a time period of *10 weeks)* starting on *5<sup>th</sup> October 2020s*. The tentative TE timeframe is as follows:

Timeframe	Activity
<i>23<sup>rd</sup> September</i>	Application closes
<i>30<sup>th</sup> September</i>	Selection of TE Consultant
<i>5<sup>th</sup> October</i>	Preparation period for TE team (handover of documentation)
<i>6<sup>th</sup> to 9<sup>th</sup> October</i>	Document review and preparation of TE Inception Report
<i>16<sup>th</sup> October</i>	Finalization and Validation of TE Inception Report; latest start of TE mission
<i>19<sup>th</sup> – 29<sup>th</sup> October</i>	TE mission: stakeholder meetings, interviews, field visits, etc.

<sup>9</sup> Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

30 <sup>th</sup> October	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
2 <sup>nd</sup> - 9 <sup>th</sup> November	Preparation of draft TE report
By 20 <sup>th</sup> November	Circulation of draft TE report for comments
By 25 <sup>th</sup> November	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
By 30 <sup>th</sup> November	Preparation and Issuance of Management Response
N/A	Concluding Stakeholder Workshop (optional)
4 <sup>th</sup> December	Expected date of full TE completion

The expected date start date of contract is 5<sup>th</sup> October

## 9. Duty Station

The consultant's duty station in Accra. with possibility to travel to the following project locations in the five Northern regions of Ghana: Bongo, Savelugu, Zabzugu, Bole, Nadowli Nandom, Sisala East, Bawku West and Central and Builsa South.

### Travel:

- International travel may be required to *Ghana* 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

The evaluation shall be carried out by a team of external (1) and local(1) consultants. The International Consultant, the team leader, will work closely with the National Consultant. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The National Consultant will support the International Consultant who will have the overall responsibility for the conduct of the evaluation exercise as well as quality and timely submission of reports (inception, draft, final etc). The International Consultant will be accountable to UNDP for the delivery results on this assignment. 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 the national consultant will be aimed at maximizing the overall qualities in the following areas:

#### **National consultant qualification:**

- A Master’s degree in Climate Change, Natural Resource Management, Environmental Management/Science, Development Studies, or other closely related field **(10%)**
- Minimum of 7 years of professional experience in the technical areas of the project, with demonstrated understanding of national policies and practice of Climate Change and Adaptation **(40%)**
- Recent experience with evaluating projects with result-based monitoring and evaluation methodologies and in applying SMART indicators **(30%)**.
- Knowledge and experience in evaluating development projects, specific experience in UNDP and GEF project Evaluation **(20%)**

#### **National Consultant competencies**

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to Climate Change Adaptation focal area;
- Experience in working with GEF or GEF – evaluations
- An understanding of issues related to gender and GEF focal areas; experience in gender sensitive evaluation and analysis;
- Excellent communication skill of the local languages;
- Excellent analytical and communication skills;

#### Language

- Fluency in written and spoken English.

## **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**

### **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 following email address ONLY: [bids.gh@undp.org](mailto:bids.gh@undp.org). by (4:30pm GMT, 11<sup>th</sup> September) indicating the following reference “Consultant for Terminal Evaluation of AF Project in Ghana” 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.

Criteria	Weight	Max. Point
<b>Technical Competence</b>	<b>70%</b>	<b>100</b>
Educational qualifications		10
Experience in carrying out Terminal Evaluations related to climate change adaptation		30
Experience in conducting evaluation related field missions		10
Review of previous reports submitted		20
<b>Financial (Lower Offer/Offer*100)</b>	<b>30%</b>	<b>100</b>
<b>Total Score</b>	<b>Technical Score * 70% + Financial Score * 30%</b>	

## 16. Annexes to the TE ToR

*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

## Annexes to Terminal Evaluation Terms of Reference

- **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**

## ToR Annex A: Project Logical/Results Framework

Project Objective(s)	Project Objective Indicator	Fund Outcome	Fund Outcome Indicator
To enhance the resilience and the adaptive capacity of rural livelihoods to climate risks on water resources in the northern region of Ghana.	Number of communities with the adaptive capacity to climate risks	<b>Outcome 2:</b> Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses	2.1. No. and type of targeted institutions with increased capacity to minimize exposure to climate variability risks
To enhance the resilience and the adaptive capacity of rural livelihoods to climate risks on water resources in the northern region of Ghana.	Number of communities with the adaptive capacity to climate risks	<b>Outcome 3:</b> Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	3.1. Percentage of targeted population aware of predicted adverse impacts of climate change, and of appropriate responses
To enhance the resilience and the adaptive capacity of rural livelihoods to climate risks on water resources in the northern region of Ghana.	Number of communities with the adaptive capacity to climate risks	<b>Outcome 4:</b> Increased adaptive capacity within relevant development and natural resource sectors	4.2. Physical infrastructure improved to withstand climate change and variability-induced stress
To enhance the resilience and the adaptive capacity of rural livelihoods to climate risks on water resources in the northern region of Ghana.	Number of communities with the adaptive capacity to climate risks	<b>Outcome 6:</b> Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	6.1 Percentage of households and communities having more secure (increased) access to livelihood assets
Project Outcome(s)	Project Outcome Indicator(s)	Fund Output	Fund Output Indicator
<b>Outcome 2:</b> Outcome 2: Climate resilient management of water resources by at least 50 communities in northern Ghana	Percentage of population with improved water management practices resilient to climate change impacts in the targeted regions.	<b>Output 3:</b> Targeted population groups participating in adaptation and risk reduction awareness activities	3.1.1 No. and type of risk reduction actions or strategies introduced at local level
<b>Outcome 2:</b> Climate resilient management of water resources by at least 50 communities in northern Ghana	Percentage of population with improved water management practices resilient to climate change impacts in the targeted regions.	<b>Output 4:</b> Vulnerable physical, natural, and social assets strengthened in response to climate change impacts, including variability	4.1.2. No. of physical assets strengthened or constructed to withstand conditions resulting from climate variability and change (by asset types)
<b>Outcome 3:</b> Enhanced diversification of livelihoods under climate change by at least 50 communities in northern Ghana	Number of communities with livelihoods diversified to provide resilience to climate change impacts	<b>Output 6:</b> Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	6.1.2. Type of income sources for households generated under climate change scenario

<sup>10</sup>The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology but the overall principle should still apply

## ToR Annex B: Project Information Package to be reviewed by TE team

#	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
	<i>Add documents, as required</i>

## ToR Annex C: Content of the TE report

### i. 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

### iv. Acronyms and Abbreviations

#### 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

(in addition to a descriptive assessment, all criteria marked with (\*) must be given a rating<sup>11</sup>)

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<sup>11</sup> See ToR Annex F for rating scales.

#### 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 of M&E (\*)
- UNDP implementation/oversight (\*) and Implementing Partner execution (\*), overall project implementation/execution (\*), coordination, and operational issues
- Risk Management incl. Social and Environmental Standards (Safeguards)

#### 4.3 Project Results

- Progress towards objective and expected outcomes (\*)
- Relevance (\*)
- Effectiveness (\*)
- Efficiency (\*)
- Overall Outcome (\*)
- Country ownership
- Gender
- Other Cross-cutting Issues
- Sustainability: financial (\*), socio-economic (\*), institutional framework and governance (\*), environmental (\*), and overall likelihood (\*)
- Country Ownership
- Gender equality and women's empowerment
- Cross-cutting Issues
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to Impact

#### 4.4 Main Findings, Conclusions, Recommendations & Lessons

- Main Findings
- Conclusions
- Recommendations
- Lessons Learned

#### 5. Annexes

- TE ToR (excluding ToR annexes)
- TE Mission itinerary
- List of persons interviewed
- List of documents reviewed
- Summary of field visits

- 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 include 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 terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools, as applicable

## ToR Annex D: Evaluation Criteria Matrix template

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



## ToR Annex E: UNEG Code of Conduct for Evaluator

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:

10. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
11. 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.
12. 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.
13. 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.
14. 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.
15. 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.
16. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
17. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
18. 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: \_\_\_\_\_

## ToR Annex F: TE Rating Scales & Evaluation Ratings Table

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

Evaluation Ratings Table	
Monitoring & Evaluation (M&E)	Rating <sup>12</sup>
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
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	

<sup>12</sup> Outcomes, Effectiveness, Efficiency, M&E, I&E Execution, Relevance are rated on a 6-point rating 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)

Environmental	
Overall Likelihood of Sustainability	

## ToR Annex G: TE Report Clearance Form

<b>Terminal Evaluation Report for (Project Title &amp; UNDP PIMS ID) Reviewed and Cleared By:</b>	
<b>Commissioning Unit (M&amp;E Focal Point)</b>	
Name: _____	
Signature: _____	Date: _____
<b>Regional Technical Advisor (Nature, Climate and Energy)</b>	
Name: _____	
Signature: _____	Date: _____

## ToR Annex H: TE Audit Trail

**To the comments received on (date) from the Terminal Evaluation of *Increased Resilience to Climate Change in Northern Ghana through the Management of Water Resources and Diversification of Livelihoods (PIMS 4952)***

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