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**INDIVIDUAL CONSULTANT PROCUREMENT NOTICE**

**Country:** Botswana

**Description of the assignment:** Terminal Evaluation Terms of Reference – Biogas Project

**Project name:** Biogas Project

**Period of assignment/services (if applicable):** The consultant to propose

Proposals shall be addressed to and delivered to the following address:

The UNDP Resident Representative

P.O. Box 54

Government Enclave,

Corner Khama Crescent and Presidents’ Drive

Gaborone, Botswana

OR

by email to [procurement.bw@undp.org](mailto:procurement.bw@undp.org) no later than **16:30 pm Botswana time Thursday 15th July 2021.**

Any request for clarification must be sent in writing, or by standard electronic communication by email to [enquiries.bw@undp.org](mailto:enquiries.bw@undp.org) will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.

*NOTE: Consultancy firms/companies interested in applying for this assignment are free to do so provided they submit a CV of only one qualified consultant and present its bid in a manner that would allow for evaluation of the bid in accordance with the evaluation criteria specified in these solicitation documents. That is, the experience required is that of the individual whose CV would have been submitted by the company rather than that of the company. Further, if the submitted bid wins, the ensuing contract will be between the UNDP and the company/firm, not the individual.*

**Terminal Evaluation Terms of Reference – Biogas Project**

*Template 1 - formatted for attachment to the* [*UNDP Procurement website*](http://procurement-notices.undp.org/)

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 *Promoting Production and Utilisation of Biogas from AgroWaste in South-Eastern Botswana (PIMS #5299) – Biogas Project* initially implemented through the Botswana Institute for Technology Research and Innovation (BITRI), however following the Mid-Term Review (MTR), project implementation was shifted to the Ministry of Mineral Resources, Green Technology and Energy Security (MMGE): Department of Energy (DOE). The project started on the 20th January 2017 and is in its 5th year of implementation following a request for an extension from the MMGE in July 2020. The project has been extended up to January 2022. 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).

1. **PROJECT BACKGROUND AND CONTEXT`**

The Government of Botswana (GoB) in collaboration with the United Nations Development Programme (UNDP) is implementing a project called “Promoting production and utilization of Biogas from Agro-waste in South-Eastern Botswana (Biogas Project)”. The project has been funded by the Global environment Facility (GEF) to the tune of $2,632,300 and UNDP by $200,000. The project is being implemented in the Kgatleng, Kweneng, South-East and Southern districts of Botswana.

The project is being implemented by the *Ministry of Mineral Resources, Green Technology and Energy Security (MMGE): Department of Energy (DOE)*. Other key stakeholders in the project include the Department of Waste Management and Pollution Control (DWMPC), Ministry of Local Government and Rural Development (MLGRD), Botswana Power Corporation (BPC), Botswana Energy Regulatory Agency (BERA), District Councils, BITRI and Water Utilities Corporation (WUC).

The Biogas Project was initiated following the realization that waste has not been taken as a resource in the country. The reuse of waste to generate energy is an opportunity that Botswana must tap into for future use. Several waste streams are available at several agro-industrial facilities which can be utilized for generation of energy. Some of the agro-waste for consideration in bio-gas production include chicken manure, cow dung and goat/sheep droppings. Despite this immense potential presented by the abundance of livestock manure, agricultural/animal waste and other forms of biomass in the country, generation of energy from this waste remains a challenge.

The Biogas Project, as an initiative that cuts across the energy sector as well as the waste management sector offers a solution to the objectives of government to provide equitable access to energy for all, reduction of green house gas emissions by the country as a whole, increasing the contribution of renewable energy in the energy mix, reduction of the importation of carbon based electricity, reduction of deforestation, preservation of the environment through better management of waste, and valorization of waste.

The Biogas project seeks to facilitate low-carbon investments and public-private partnerships in the production and utilization of biogas from agro-waste and aims to assist the government through the following three components:

1. Institutional strengthening and capacity development;

2. Facilitation and establishment of biogas plants; and

3. Setting up of utilization and knowledge platforms.

The outcomes of the project will include the implementation of effective waste-management policies and guidelines with operational regulations; capacity to design and develop biogas projects in South-Eastern Botswana; the first best-practice public-private partnership established; reduction in greenhouse gas emissions (direct and indirect) of 1.65 million tCO2e; and increased incomes through the use of small-scale biogas and bio-fertilizer, especially for women.

Research and development, in the form of data collection from the different small-scale digester sites and installation of a remote monitoring system at 2 of the digester sites will provide lessons learnt throughout the project. These lessons will be the basis upon which the project will then be rolled out to the rest of the country beyond the scope of this UNDP funded project and to ensure sustainability of the UNDP initiative.

As of 24 June 2021, Botswana has a total of 67,492 COVID-19 cases, with 31,341 and 1,095 recorded recoveries and deaths, respectively. Botswana implemented its first nationwide lockdown from 2 April 2020–22 May 2020, which included the suspension of all international and inter-zonal travel, and imposition of curfews for movement within the country, with the exception of essential services In 2021, Botswana has not implemented a nationwide lockdown. While international and inter-zonal travel is currently permitted in Botswana, the Government of Botswana continues to implement restrictions on movements and gatherings as necessary such as limiting the number of interzonal movement permits and application of curfews. These restrictions have resulted in numerous delays in project implementation and processes, including: i) limitations on interactions and engagements with project partners and beneficiaries, and disruptions in the supply chain leading to partners and beneficiaries receiving goods and services; ii) procurement of consultants, as internationally based consultants were unable to travel to undertake the required work; and iii) postponement of trainings and meetings to ensure compliance with the recommended health protocols. Additionally, the anticipated increase in COVID-19 cases poses a considerable risk to the implementation of the project being evaluated, particularly with regards to travel to project sites, and consultations with project stakeholders.

1. **TE PURPOSE**

The Terminal Evaluation (TE) report is done at the final stages of the project, within 6 months of operational closure of the project. It is utilized to

* assess the achievement of project results against what was expected to be achieved;
* draw lessons that can both improve the sustainability of benefits from this project;
* aid in the overall enhancement of UNDP programming.

The TE will also assist the Government of Botswana in its efforts to rollout the project and/or technology to the rest of the country. The TE report promotes accountability and transparency and assesses the extent of project accomplishments.

The impacts of Covid19 on the attainment of project goals will also form part of the terminal evaluation.

1. **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 MMGE, DOE, MENT, BITRI, DWMPC, BPC, BERA, MLGRD, District Councils, WUC; executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc. Additionally, the TE team is expected to conduct field missions to the various small-scale digester sites within the project area.

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.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. As travel to Botswana is not guaranteed to be open during the TE period, the TE team should develop a methodology that takes this into account. This includes the need to conduct the TE virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the Inception Report and agreed with the Commissioning Unit.

The International Consultant (Team Lead) will be home-based and will work closely with the National Consultant in engaging stakeholders digitally via telephone or platforms such as Zoom or Skype. During the planning of virtual stakeholder consultations, careful consideration should be given to the coverage of mobile telephone networks, particularly in remote areas. Where possible, the appropriate technical and ICT arrangements should be made in advance to support a successful consultation process — support on this will be provided by the PMU. Should virtual consultations not be possible, the National Consultant will be required to travel to project sites to conduct face-to-face interviews — in compliance with the relevant Government of Botswana COVID-19 regulations. Field missions to project sites will be conducted by the National Consultant and findings shared with the International Consultant. Furthermore, all stakeholder engagement will be strongly supported by the Project Team.

Consideration should be taken for stakeholder availability, ability, and willingness to be interviewed remotely and the constraints this may place on the TE. These limitations must be reflected in the final TE report. No stakeholders, consultants or UNDP staff should be put in harm’s way and safety is the key priority — this will be ensured by complying with all of the Government of Botswana’s COVID-19 regulations.

1. **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> .

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

1. Project Design/Formulation

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

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 (\*)
* Implementing Agency (UNDP) (\*) and Executing Agency (\*), overall project oversight/implementation and execution (\*)
* Risk Management, including Social and Environmental Standards

1. 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

Main Findings, Conclusions, Recommendations and Lessons Learned

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

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

**ToR Table 1: Evaluation Ratings Table for *Promoting Production and Utilisation of Biogas from AgroWaste in South-Eastern Botswana***

|  |  |
| --- | --- |
| Monitoring & Evaluation (M&E) | Rating[[1]](#footnote-1) |
| 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 |  |

1. **TIMEFRAME**

The total duration of the TE will be approximately *(average 25-35 working days)* over a time period of *(12 weeks)* starting on 26th July 2021*.* The tentative TE timeframe is as follows:

|  |  |
| --- | --- |
| Timeframe | Activity |
| *21st July 2021* | Application closes |
| *26th July 2021* | Selection of TE team |
| *26th – 30th July 2021* | Preparation period for TE team (handover of documentation) |
| *(1st – 5th August 2021)* | Document review and preparation of TE Inception Report |
| *(6th – 11th August 2021)* | Finalization and Validation of TE Inception Report; latest start of TE mission |
| *(12th- 30th August 2021)* | TE mission: stakeholder meetings, interviews, field visits, etc. |
| *(2nd September 2021)* | Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission |
| *(3rd - 14th September 2021)* | Preparation of draft TE report |
| *(15th September 2021)* | Circulation of draft TE report for comments |
| *(20th September 2021)* | Incorporation of comments on draft TE report into Audit Trail & finalization of TE report |
| *(27th September 2021)* | Preparation and Issuance of Management Response |
| *(28th September 2021)* | Concluding Stakeholder Workshop (optional) |
| *(29th September 2021)* | Expected date of full TE completion |

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

1. **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: | TE team submits Inception Report to Commissioning Unit and project management |
| 2 | Presentation | Initial Findings | End of TE mission: (*2nd September 2021)* | TE team presents to Commissioning Unit and project management |
| 3 | Draft TE Report | Full draft report *(using guidelines on report content in ToR Annex C)* with annexes | Within 3 weeks of end of TE mission: *(15th September 2021)* | TE team submits to Commissioning Unit; reviewed by RTA, Project Coordinating Unit, GEF OFP |
| 5 | Final TE Report\* + Audit Trail | Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report *(See template in ToR Annex H)* | Within 1 week of receiving comments on draft report: *(29th September 2021)* | 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.[[2]](#footnote-2)

1. **TE ARRANGEMENTS**

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project’s TE is UNDP Botswana Country Office.

The Commissioning Unit will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the TE team. The Project Team will be responsible for liaising with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

1. **TE TEAM COMPOSITION**

A team of two independent evaluators will conduct the TE – one team leader (with experience and exposure to projects and evaluations in other regions) and one team expert, from Botswana. The team leader will be responsible for the overall design and writing of the TE report. The team expert will undertake stakeholder consultations, collect and analyse data on the ground and undertake relevant site visits.

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

The selection of evaluators will be aimed at maximizing the overall “team” qualities and the Team Expert will be evaluated in the following areas:

**Evaluation of Consultants**

The selection of evaluators will be aimed at maximizing the overall “team” qualities and the Team Leader will be evaluated in the following areas:

Only those candidates who obtained at least 70% in each of the steps of the technical evaluation process will be considered for financial proposal evaluation.

• Stage 1: Technical capability of the Consultant to deliver the required consultancy outputs evaluated on a scale of 0-100 points wherein the qualifying mark is 70%. The criteria to be used are shown below:

• Stage 2: Financial Evaluations 30%

## Education

* Master’s degree in Renewable Energy, Natural Sciences, Environmental Management or related fields with focus on Monitoring and Evaluation or Project Management. **YES/NO**

## Experience

* Relevant experience with results-based management evaluation methodologies; **25 points**
* Experience in undertaking stakeholder consultations; **10 points**
* Experience in various data collection and analysis methods; **10 points**
* Experience working in Botswana; **20 points**
* Experience in relevant technical areas for at least 5 *years;* **15 points**
* Demonstrated understanding of issues related to gender and climate change; **20 points**
* Excellent communication skills;
* Demonstrable analytical skills;

## Language

* Fluency in written and spoken English and Setswana.

1. **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.

1. **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%[[3]](#footnote-3):

* 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.
* In line with the UNDP’s financial regulations, when determined by the Commissioning Unit and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the TE, that deliverable or service will not be paid.
* Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete due to circumstances beyond his/her control.

1. **APPLICATION PROCESS[[4]](#footnote-4)**

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 sent to the email address [procurement.bw@undp.org](mailto:procurement.bw@undp.org) with the following reference “Consultant for Terminal Evaluation of Biogas Project” by 9th July 2021 at 12noon Botswana time. 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.

1. **TOR ANNEXES**

* 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 Results Framework** | | | | | |
| **Country Programme Outcome Indicators:** UNDP Country Programme Output 4.3 on Enhanced National Capacity for Climate Change Adaptation and Mitigation. | | | | | |
| **Primary applicable Key Environment and Sustainable Development Key Result Area:**  **1. Mainstreaming environment and energy** | | | | | |
| **Applicable GEF Strategic Objective and Programme:** GEF-5 FA Objective # 3 (CCM-3): “Promote Investment in Renewable Energy Technologies” | | | | | |
|  | **Indicator** | **Baseline** | **Targets**  **End of Project** | **Source of verification** | **Risks and Assumptions** |
| **Project Objective**  To facilitate low-carbon investments and public-private partnerships in the production and utilisation of bio-methane from agro-waste in the districts of South-Eastern Botswana. | Amount of reduced CO2 emissions as a result of investments facilitated by the project.  Project beneficiaries  Energy generation using biogas  Number of new development partnerships with funding for improved sustainable energy solutions | 0  0  0  0 | Installations in place and operating to achieve direct and indirect reductions of 1.9 million tonnes CO2.  Minimum of 3 medium-scale agro-industries installed and operational; 1,000 small-scale agro-businesses utilising agro-waste streams for biogas digestion; at least 2 District Councils utilising organic waste for biogas digestion. At least 2 companies constructing biogas digesters and 75 masons trained and employed.  350,000 MWh  3 Public-Private Partnerships in place to facilitate biogas investment. | Project monitoring reports and final evaluation.  Project monitoring reports and final evaluation.  Project monitoring reports and final evaluation. Performance-based payments to medium-scale digester operators.  As applicable, post-project market monitoring and evaluations. | It is assumed that the DWMPC will formulate an updated Waste Management Policy that includes CO2 reduction.  The project’s barrier removal strategy can be successfully implemented. The Government maintains the commitments it has stated in Parliament and in Botswana’s INDC.  Sustained O&M of digester units to ensure ongoing usage.  It is assumed that Councils will pursue their legal ability and stated interest in entering into PPPs. |
| **Outcome 1**  Increased capacity of Government, private sector and community stakeholders to develop, finance and implement PPPs in the agro-waste sector.  Increased capacity of Government authorities to properly monitor and enforce waste management regulations in the agro-industrial sector.  Autonomous support systems in place for replication and scale-up of agro-waste technologies post-project. | Extent to which policies and regulations for waste management in the agro-sector are adopted and enforced.  Number of beneficiaries (owners/users of biogas). | Poor infrastructure maintenance and weak monitoring and enforcement capacity of waste treatment regulations.  Lack of specific guidelines or policies on biogas resources and absence of an appropriate legal and regulatory framework on the utilisation of biogas from agro-waste and wastewater.  Insufficient capacity of relevant financial institutions and stakeholders (including banks) to assess the technical risks and benefits of investing in biogas technologies. | Specific guidelines on low-carbon alternatives and utilisation technologies for agro-waste and wastewater developed and disseminated.  Framework agreement for at least 3 public-private partnerships (PPPs) in the waste sector and biogas related in place and implemented.  Up-to-date regulations developed and adopted for the successful monitoring of effluent flows.  Financial institutions invest in at least 3 biogas plants. | Official Government publications.  Project final evaluation.  Post-project monitoring, as applicable. | The proposed legal and regulatory improvements pass swiftly through the Government approval process.  Adequate demand for, and competitively priced financing products able to provide, long-term financing. Banks’ requirements for securities within clients’ limits. |
| **Outcome 2**  Increased investment in clean-energy technologies and low-carbon practices in the agro-waste sector. | Number of biogas digesters constructed and in use.  Total capacity (in m3) of installed biogas digesters constructed and energy generated. | 0 | One thousand (1,000) small-scale biogas digesters constructed and operational.  Three medium-sized biogas digesters constructed and operational.  Finalised proposal to construct a centralised biogas digester of an estimated 15,000 m3 or larger with facility to upgrade to bio-methane and utilisation.  At least 3,000 m3 biogas per annum and 3 MW of electricity installed. | Project monitoring reports and final evaluation. |  |
| **Outcome 3**  Increased investment in less GHG-intensive energy systems using biogas. | Total investment (US$) in biogas technology. | 0 | At least three financial institutions have incorporated the financing of biogas technology in their national portfolios. | Annual reports. | The investment in biogas technology is no longer deemed bankable; focus on other technologies for waste management. |

**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 |
|  | *Add documents, as required* |

**ToR Annex C: Content of the TE report**

1. Title page

* Tile 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

1. Acknowledgements
2. Table of Contents
3. Acronyms and Abbreviations
4. 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

1. 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

1. 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

1. Findings

(in addition to a descriptive assessment, all criteria marked with (\*) must be given a rating[[5]](#footnote-5))

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
  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
  1. Project Results
* Progress towards objective and expected outcomes (\*)
* Relevance (\*)
* Effectiveness (\*)
* Efficiency (\*)
* Overall Outcome (\*)
* Country ownership
* Gender
* Other Cross-cutting Issues
* Social and Environmental Standards
* 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

1. Main Findings, Conclusions, Recommendations & Lessons

* Main Findings
* Conclusions
* Recommendations
* Lessons Learned

1. 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** |
| Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities a the local, regional and national level? | | | |
| *(include evaluative questions)* | *(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)* | *(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)* | *(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)* |
|  |  |  |  |
|  |  |  |  |
| Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved? | | | |
|  |  |  |  |
|  |  |  |  |
| Efficiency: Was the project implemented efficiently, in line with international and national norms and standards? | | | |
|  |  |  |  |
|  |  |  |  |
| Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results? | | | |
|  |  |  |  |
|  |  |  |  |
| Gender equality and women’s empowerment: How did the project contribute to gender equality and women’s empowerment? | | | |
|  |  |  |  |
|  |  |  |  |
| Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status? | | | |
|  |  |  |  |
| *(Expand the table to include questions for all criteria being assessed: Monitoring & Evaluation, UNDP oversight/implementation, Implementing Partner Execution, cross-cutting issues, etc.)* | | | |

**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: |
| 6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings  5 = Satisfactory (S): meets expectations and/or no or minor shortcomings  4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings  3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings  2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings  1 = Highly Unsatisfactory (HU): severe shortcomings  Unable to Assess (U/A): available information does not allow an assessment | 4 = Likely (L): negligible risks to sustainability  3 = Moderately Likely (ML): moderate risks to sustainability  2 = Moderately Unlikely (MU): significant risks to sustainability  1 = Unlikely (U): severe risks to sustainability  Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability |

**ToR Annex G: TE Report Clearance Form**

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

**ToR Annex H: TE Audit Trail**

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

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

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Institution/**  **Organization** | **#** | **Para No./ comment location** | **Comment/Feedback on the draft TE report** | **TE team**  **response and actions taken** |
|  |  |  |  |  |
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1. 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) [↑](#footnote-ref-1)
2. Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml> [↑](#footnote-ref-2)
3. 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> [↑](#footnote-ref-3)
4. Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP <https://popp.undp.org/SitePages/POPPRoot.aspx> [↑](#footnote-ref-4)
5. See ToR Annex F for rating scales. [↑](#footnote-ref-5)