



UNITED NATIONS DEVELOPMENT PROGRAMME

TERMS OF REFERENCE / INDIVIDUAL CONTRACT

Terms of Reference for the Appointment of

International Consultant for the Terminal Evaluation of the GEF-funded project entitled “Sustainable natural resource and forest management in key mountainous areas important for globally significant biodiversity”

Project name:	Sustainable natural resource and forest management in key mountainous areas important for globally significant biodiversity (Mountain Ecosystems project)
Post title:	International Consultant for the Terminal Evaluation (TE) of full-sized UNDP-GEF project
Type of contract:	Individual Contract (IC)
Assignment type:	International Consultant
Country / Duty Station:	Home Based with one mission of minimum 10 working days to Uzbekistan (not including weekends)
Expected places of travel (if applicable):	Tashkent and Kashkadarya regions
Languages required:	English
Duration of Contract:	April – September 2022 (28 working days)
Application Deadline:	18 March 2022

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 “Sustainable natural resource use and forest management in key mountainous areas important for globally significant biodiversity” (ATLAS#00090383, PIMS 5438) implemented through the *State Committee of the Republic of Uzbekistan on Ecology and Environmental protection (Goscomecology)*. The project started on the 21 September 2017 and is in its *sixth (final)* 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](#)’.

2. Project Background and Context

The project was designed to support improved and effective management of protected areas as well as sustainable use and management of mountain pastures and forests, and biodiversity conservation in two snow leopard landscapes (Western Tian Shan and Pamir Alay) of Uzbekistan.

Project Goal, Objective, Outcomes and Outputs/activities

The project objective is “To enhance the conservation, and sustainable use, of natural resources in the biodiverse high altitude mountain ecosystems of Uzbekistan”.

In order to achieve the project objective, the project is structured into four components, with each component comprising a complementary suite of two to three outputs.

Component/Outcome 1: Landscape level planning and management decision-making. The first component will enhance the quality of information on key ecosystems, habitats and species of the high altitude mountains that are home to snow leopard and prey populations. Information collected under this component will be used to support sectoral land use planning and decision-making in these mountainous regions. Work under this component will be focused around two key areas of project support: (i) Improve the quality of environmental information for state cadastre in the snow leopard distribution range (Output 1.1); and (ii) Enhance the state of knowledge on snow leopard and prey populations (Output 1.2).

Component/Outcome 2: Strengthening key biodiversity areas. The second component will seek to expand and build the management capacity of the core conservation zones and high conservation value forests located within the two targeted snow leopard landscapes. Outputs and activities in this component will be directed at securing the conservation security of the key snow leopard and prey migration corridors within the two snow leopard landscapes. Work under this component will be focused around three key areas of project support: (i) Strengthen the conservation tenure, and improve the management effectiveness, of the core conservation zones in Ugam-Chatkal National Park (Output 2.1); (ii) Extend, and improve the conservation security of, Gissar Strict Nature Reserve (Output 2.2); and (iii) Enhance community involvement in, and beneficiation from, the protected areas (Output 2.3).

Component/Outcome 3: Sustainable economic development incentives for communities. The third component will seek to encourage more sustainable levels of use of the high altitude pastures and indigenous forests located within the two targeted snow leopard landscapes. Outputs and activities under this component will contribute to improving the ecological integrity and productivity of forest and grassland habitats in the snow leopard landscapes. Work under this component will be focused around two key areas of project support: (i) Incentivize the adoption of more sustainable pasture management practices (Output 3.1); and (ii) Reverse the trend of unsustainable forest use in, and degradation of, natural forests (Output 3.2).

Component/Outcome 4: Promoting cooperation and collaboration. The fourth component will promote improved cooperation and collaboration in the conservation of snow leopard and their ecosystems. It is envisaged that more integrated planning, stronger cooperative governance structures and improved institutional and individual capabilities of all partner agencies and institutions will improve the collective national capacity to conserve and sustainably use snow leopards, their prey and their ecosystems. Work under this component will be focused around two key areas of project support: (i) Improve inter-agency coordination in conservation, monitoring and enforcement (Output 4.1); and (ii) Strengthen the capacity for trans-boundary planning and management (Output 4.2).

The project implementation period is 2017-2022. The time is based on activities that will provide implementation of best practices, their assessment and primer dissemination of recommendations on their replication in other similar regions of Uzbekistan. Building of sufficient capacity and practical know-how within essential state institutions and local authorities will take too long to allow project sustainability. One of the main lessons learned by UNDP and other development partners in Central Asia in the last 15 years is that to change and reform existing institutions and mind-sets is an extremely time-consuming process if it is to be achieved effectively. This has been a clear lesson from most of UNDP and other development actors' initiatives in the area and a key reason for many projects to not achieve the full results expected. Thus, it is of paramount importance that in the project a realistic timeframe for the systematic implementation of the various project activities is planned in order to mitigate this risk. This is an additional reason why the timeframe of 5 years has been considered necessary.

The project budget planned for the period of implementation is given in the table below. The actually used donors' funds are indicated by UNDP and GEF (6,509,863\$).

The project will instigate institutional change with the true understanding and support of the institutions themselves for the change to be effective and sustainable. The major aim of the project is to build the experience, know-how and technical capacity of key national, regional and district level institutions so that they themselves are better able to understand and deliver change that responds to the evolving natural resources use situation in Uzbekistan. This is the most significant factor in making such institutions sustainable and continuing to be sustainable despite inevitable climate and economic "shocks" that may occur in the future.

The project activities are implemented under coordination of Goscomecology of Uzbekistan, as the national implementation agency of the project. Goscomecology is responsible for regulatory framework related to ecology, environmental protection and biodiversity use and conservation. Ministries and agencies of the country are involved in the project implementation through a mechanism of interactions through Goscomecology and are represented with members of the national Project Board (project steering committee).

3. TE Purpose and Objective

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 **purpose** of the evaluation is to provide an independent external view of the progress of the project at its completion, and to provide feedback and recommendations to UNDP and project stakeholders.

The **objectives** of the Terminal Evaluation is to:

- Identify potential project design issues;
- Assess progress toward achievement of expected project objective and outcomes;
- Identify and document lessons that can both improve the sustainability of benefits from this project and aid in the overall enhancement of UNDP and GEF programming in the region; and
- Make recommendations necessary to help consolidate and support sustainability of the project results.

The Terminal Evaluation should also provide recommendations for follow-up activities, which require a management response prepared by the project team, which should be uploaded to PIMS and to the [UNDP Evaluation Office Evaluation Resource Center \(ERC\)](#).

The International Consultant (IC) will be responsible for the preparation of a high quality report and timely submission.

4. TE Approach and Methodology

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

The evaluation team is **strongly encouraged** to review UNDP's evaluation quality guidelines and criteria (available here: <http://web.undp.org/evaluation/guideline/section-6.shtml>) to ensure that the evaluation report meets the highest standards for quality, as the finalized report will be internally reviewed by UNDP to ensure it meets quality standards.

Evaluative evidence will be assessed against the main UNDP and GEF **evaluation criteria**, as identified and defined in Table 1 below:

Table 1. GEF and UNDP Main Evaluation Criteria for GEF Projects

Relevance
<ul style="list-style-type: none">• The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time.• The extent to which the project is in line with the GEF Operational Programs or strategic priorities under which the project was funded.• Note: Retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.

Effectiveness
<ul style="list-style-type: none"> • The extent to which an objective has been achieved or how likely it will be achieved.
Efficiency
<ul style="list-style-type: none"> • The extent to which results have been delivered with the least costly resources possible; also called cost-effectiveness or efficacy.
Results
<ul style="list-style-type: none"> • The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention. • In GEF terms, results include direct project outputs, short to medium-term outcomes, and longer-term impact including global environmental benefits, replication effects and other local effects.
Sustainability
<ul style="list-style-type: none"> • The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion: financial risks, socio-political risks, institutional framework and governance risks, environmental risks • Projects need to be environmentally, as well as financially and socially sustainable.

The evaluation methodology to be used will be determined by the terminal evaluation team, and will be specified in the evaluation inception report. The methodology may include various forms of quantitative and qualitative data collection and analysis, including document review, qualitative document analysis, interviews, surveys, focus group surveys, field site inspection, and any other relevant methods. The evaluation team should endeavor to collect data from the representative selection of stakeholders and partners, including local and national government, local resource users and stakeholders, beneficiaries, resource managers, civil society, private sector, multilateral and bilateral partners, etc. The evaluation team should use multiple sources of data to triangulate information for all findings and conclusions.

The evaluation will specifically address gender, vulnerable groups, disability issues and/or human rights specific questions, as relevant. The evaluation team must ensure that the evaluation approach and methodology is appropriate to ensure inclusion of these topics, including relevant data collection methods. For example, interview guides, surveys, questionnaires, etc. should include questions addressing gender, vulnerable groups, disability issues and/or human rights specific issues, as relevant.

The IC will review all relevant sources of data and 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 IC 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.

Role of Evaluation Partners: The IC 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 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 IC is expected to conduct field missions to Uzbekistan, including the project sites in Kashkadarya and Tashkent regions to meet with the local communities and beneficiaries. Evaluation partners and stakeholders will be expected to provide fact-based inputs to the evaluation in a clear and transparent manner, and the evaluation team will take all relevant and necessary measures to support them in doing so. This will include application of the appropriate level of confidentiality, and ensuring avoidance of conflicts of interest.

The specific design and methodology for the TE should emerge from consultations between the IC 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 IC 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 IC.

The final report must describe the TE approach, and the rationale for the approach, identifying any limitations of the approach. The final report must also describe any limitations encountered by the Evaluation team during the evaluation process, including limitations of the methodology, data collection methods, and any potential influence of limitation on how findings may be interpreted, and conclusions drawn. Limitations include, among others: language barriers, inaccessible project sites (due to travel restrictions because of COVID), issues with access to data or verification of data sources, issues with availability of interviewees to engage in in-person meetings or virtually in the evaluation process, methodological limitations to collecting more extensive or more representative qualitative or quantitative evaluation data, deviations from planned data collection and analysis set out in the TOR and Inception Report, etc. Efforts made to mitigate the limitations should also be included in the report.

Feedback Mechanism: Once the draft terminal evaluation report is complete, the evaluation team will share the draft report with the UNDP Country Office and Project team for factual corrections and suggestions for strengthening the quality of the evaluation report. The draft report will be circulated by UNDP to the other project stakeholders who have provided input to the report, as relevant. Once feedback and comments are shared with the evaluation team, the evaluation team will produce the finalized evaluation report, taking into account the feedback and comments received, as appropriate. In instances where there is unresolvable disagreement between the evaluation team and UNDP or other stakeholders on evaluation findings or

conclusions, any dissenting views or additional relevant information will be included in the evaluation management response, which will be attached to the evaluation report as an annex.

Principles of the Evaluation: The evaluation must be conducted in accordance with the GEF M&E Policy, which includes the following principles for evaluation: Credibility, Utility, Impartiality, Transparency, Disclosure, and Participation. The review must also be conducted in line with United Nations Evaluation Group norms and standards. The review must provide evidence-based information that is credible, reliable and useful. The review should follow a participatory and consultative approach ensuring close engagement with government counterparts, and with the UNDP project teams. The review should be carried out in accordance with the guidance outlined in the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, and in accordance with the evaluation guidance in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-GEF projects](#).

5. Detailed Scope of the TE

As previously stated, the evaluation team is strongly encourage to review UNDP's evaluation report quality criteria and guidelines (access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>) to ensure that the evaluation report covers all relevant and necessary aspects of the project.

The TE report will assess the achievement of project results against the planned results, and draw lessons that can both improve the sustainability of project outcomes, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency, and assesses the extent of project accomplishments. The final evaluation will focus on the delivery of the project's results as initially planned, and as updated after the mid-term evaluation. The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals.

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](#).

The Findings section of the TE report will cover the specific 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, including stakeholder involvement in project design
- Theory of Change

- Gender equality and women's empowerment
- Social and Environmental Standards (Safeguards)
- 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 engagement during implementation
- 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, including planned and actual co-financing levels, and the relative importance of actual co-financing in project implementation
- 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)

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

iv. Main Findings, Conclusions, Recommendations and Lessons Learned

- The IC 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 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 IC 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 consideration of 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 project “Sustainable natural resource and forest management in key mountainous areas important for globally significant biodiversity”

Monitoring & Evaluation (M&E)	Rating 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	

¹ 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)

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 **28 working days** over a time period of **April – September 2022** starting on **April 6, 2022**. The tentative TE timeframe is as follows:

Deadline	Activity
18 March 2022	Application closes
25 March 2022	Selection of IC
25 March 2022	Preparation period for IC (handover of documentation)
6 April 2022, 4 days	Document review and preparation of TE Inception Report
20 May 2022, 2 days	Finalization and Validation of TE Inception Report
20 June 2022, 10 days (suggested 11 June-22 June)	Latest start of TE mission: in-country meetings, interviews, field visits, etc.
29 July 2022, 1 day	Latest date for mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
12 August 2022, 7 days	Preparation of draft TE report, circulation of draft TE report for comments
26 August 2022, 3 days	Incorporation of comments on draft TE report into Audit Trail and finalization of TE report
2 September 2022, 1 day	Preparation of Management Response
9 September 2022	Full TE finalization and final report ready for submission

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

7. TE DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	IC clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE mission: <i>(by 20 May 2022)</i>	IC submits Inception Report to Commissioning Unit and project management
2	Presentation	Initial Findings	End of TE mission: <i>(by 29 June 2022)</i>	IC 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>(by 12 August 2022)</i>	IC 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 2 September 2022)</i>	IC 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

8. TE Arrangements

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is the **UNDP Country Office in Uzbekistan**.

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

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

8. Duty Station

Home based with one mission to Uzbekistan.

Travel:

- International travel will be required to travel to Uzbekistan with in-country visits to Tashkent, Kashkadarya and Surkhandarya regions 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

9. TE Team Composition

A team of *two independent evaluators* will conduct the TE – one *team leader (international consultant) (with experience and exposure to projects and evaluations in other regions)* and one *local team expert (national consultant)*. The team leader will be responsible for the overall design and writing of the TE report. The team expert will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary, etc.

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

The selection of evaluators will be aimed at maximizing the overall "team" qualities in the following areas:

Corporate Competencies:

- Demonstrates integrity by modeling the UN's values and ethical standards;
- Promotes the vision, mission, and strategic goals of UNDP;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
- Treats all people fairly without favoritism;
- Fulfills all obligations to gender sensitivity and zero tolerance for sexual harassment.

Functional Competencies:

- Knowledge of and work experience with biodiversity and ecosystems related projects, including those funded by the GEF;

- Competence in adaptive management;
- Excellent training, facilitation and communication skills;
- Results driven, ability to work under pressure and to meet required deadlines;

Education

- Master's degree in natural sciences, natural resource and environmental management, development studies, economics, or other closely related field;

Experience

- Relevant extensive (at least 10 years) work experience and proven track record with policy advice and/or project development/implementation in biodiversity, ecosystems, or natural resources management (including at least some experience with biodiversity conservation and natural resource management projects) in transition economies is required.
- Experience working with the GEF or GEF project evaluations within the past seven years including experience with SMART based indicators is required.
- Experience working with international technical assistance projects in the Eastern Europe countries or CIS region in the past seven years (experience in Uzbekistan will be an asset) is strongly encouraged.
- Demonstrated understanding of issues related to gender and natural resources, experience in gender responsive evaluation and analysis.
- Excellent communication and presentation skills.
- Demonstrable analytical skills.
- Project evaluation/review experience within United Nations system will be considered an asset.
- Experience with implementing evaluations remotely will be considered an asset

Language

- Fluency in written and spoken English is required, knowledge of Russian will be a strong asset.

10. Evaluator Ethics

The IC 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%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.

12. Application Process⁴

Recommended Presentation of Proposal:

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

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

⁴ Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP <https://popp.undp.org/SitePages/POPPRoot.aspx>

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

⁶ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (insert mailing address) in a sealed envelope indicating the following reference “Consultant for Terminal Evaluation of Sustainable natural resource and forest management in key mountainous areas important for globally significant biodiversity” or by email at the following address ONLY: pu.uz@undp.org by (time and date). Incomplete applications will be excluded from further consideration.

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

When using this method, the award of the contract should be made to the individual consultant whose offer has been evaluated and determined as:

- Responsive/compliant and having received the highest score – out of 100 points.

Out of the maximum score, the score for technical criteria equals 70% - maximum 70 points, and for financial criteria 30%.

The technical evaluation will take into account the following as per the scoring provided:

- Educational background (Advanced University degree, Masters or preferably a PhD, in Natural sciences, Natural resource and environmental management, development studies, economics, climate change mitigation and adaptation or other closely related field) – 10 points max; (PhD related to Natural Sciences/Environment Mgt/Natural Resources/Climate Change = 10 points, PhD related to other relevant topic = 8 points, Masters related to Natural Sciences /Environment = 6 points, Masters related to other relevant topic = 4 points, combined (2 or more) Masters related to relevant topics = 8);

- Extensive (at least 10-year) work experience and proven track record with policy advice and/or project development/implementation in climate change adaptation and/or sustainable use of land and water resources (including at least some experience with climate change adaptation and/or sustainable use of land and water resources projects) in transition economies – 20 points max (more points if experience specifically includes experience related to both climate change and/or sustainable use of land and water resources; more than 20 years = 17 points, 15-20 years = 12 points, 14-10 years = 7 points, 6-9 years = 2 points.) The consultant shall score +3 points if they have specific work experience related to other projects dealing with the issues of both climate change and also specifically related to sustainable use of land and water resources. If the consultant has only specific experience related to one of these two areas then they shall score +1 point;

- Experience working with the GEF or GEF project evaluations within the past seven years including experience with SMART based indicators (Project evaluation/review experiences within United Nations system will be considered an asset) – 20 points max (excellent evidences of the required experience = 20 points (3 assignments or more); very good evidence (2 or more assignments) = 14 points satisfactory evidences (1 other relevant GEF evaluation experience) = 8 points; no evidence of ever having evaluated a GEF project = 0 points);
- Experience working with international technical assistance projects in the Eastern Europe countries or CIS region in the past seven years (experience in Uzbekistan will be an asset and persons who have worked in Uzbekistan before on technical assistance projects will score 10 points) – 20 points max (strong experience (4 assignments or more or at least 1 prior assignment in Turkmenistan) = 20 points; very good experience (3 other assignments or more) = 14 points, good experience (2 assignments or more) = 8 points, satisfactory experience (1 assignment or more) – 6 points, no experience = 0);
- Methodology on how IC will approach and complete the assignment – 10 points max;
- Interview – 10 points max;
- Language skills (English required, knowledge of Russian will be an asset) – 10 points max (10 points for superior writing and oral skills in English + at least some knowledge of Russian; 7 points for superior writing and oral skills in English but no Russian, 4 points for average English and satisfactory writing skills, 1 point for poor English fluency and poor writing skills). Writing skills will be judged by the quality of the 1-page cover letter with the brief description of the approach to the work to be carried out to be sent with this application.

Maximum available technical (education, experience and competencies) score – 100 points.

Additional requirements for recommended contractor:

If recommended contractors are aged 65 or older, and if the travel is required, shall undergo a full medical examination including x-ray, and obtain medical clearance from the UN-approved doctor prior to taking up their assignment. The medical examination is to be cleared by the UN physicians, and shall be paid by the consultant.

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

(Insert the project's results framework)

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 rating⁷)
- 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
- 4.1 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 (*)

⁷ See ToR Annex F for rating scales.

- 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
Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities at the local, regional and national level?			
<i>(include evaluative questions)</i>	<i>(i.e. relationships established, level of coherence between project</i>	<i>(i.e. project documentation, national policies or</i>	<i>(i.e. document analysis, data analysis,</i>

	<i>design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)</i>	<i>strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)</i>	<i>interviews with project staff, interviews with stakeholders, etc.)</i>
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?			
<i>(Expand the table to include questions for all criteria being assessed: Monitoring & 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:

Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

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.

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

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

Terminal Evaluation Report for <i>(Project Title & UNDP PIMS ID)</i> 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