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## TERMS OF REFERENCE (Individual Contractor Agreement)

**Title:** Monitoring and Evaluation Senior Officer **Terminal Evaluator**  
**Project:** 21970-012\_ICCA GSI  
**Duty station:** Home Based  
**Section/Unit:** GMS, SDC, NYPO  
**Contract/Level:** **ICA-1** (ICSC 9)  
**Supervisor:** Ada Safanova, Portfolio Manager, GMS

### 1. General Background

UNOPS supports partners to build a better future by providing services that increase the efficiency, effectiveness and sustainability of peace building, humanitarian and development projects. Mandated as a central resource of the United Nations, UNOPS provides sustainable project management, procurement and infrastructure services to a wide range of governments, donors and United Nations organizations.

New York Portfolios Office (NYPO) supports the United Nations Secretariat, as well as other New York-based United Nations organizations, bilateral and multilateral partners in the delivery of UNOPS mandate in project management, infrastructure management, and procurement management.

The [Sustainable Development Cluster \(SDC\)](#) supports diverse partners with their peacebuilding, humanitarian and development operations. It was formed by combining the following portfolios: Grants Management Services (GMS), UN Technology Support Services (UNTSS), Development and Special Initiatives Portfolio (DSIP). It provides Services to partners' programmes that are designed, structured, and managed with a global perspective and primarily serving partners that are headquartered in New York. The SDC has a footprint of approximately 125 countries.

The Global Support Initiative for Indigenous Peoples and Community-Conserved Territories and Areas ([ICCA-GSI](#)) is a global project funded by the Government of Germany, through its Federal Ministry for the Environment, Nature Conservation, Nuclear Safety and Consumer Protection ([BMUV](#)) as part of the International Climate Initiative ([IKI](#)). The ICCA GSI is delivered by the UNDP-implemented GEF Small Grants Programme (SGP) and executed through UNOPS.

Launched in 2014 in line of with the SGP Sixth Operational Phase, the programme has sought to expand the range and quality of governance types of protected areas and enhance sustainable livelihoods of indigenous peoples and local communities through improved recognition, capacity building and empowerment, and on-the-ground support to Indigenous Peoples and Community-Conserved Territories and Areas (ICCAs). The actions of the project were designed to contribute to achieving national and global level Aichi 2020 Targets of the Convention of Biological Diversity (CBD); particularly Target 11 – increasing coverage of protected and conserved areas, Target 14 – safeguarding essential ecosystem services, and Target-18 on the protection of traditional knowledge.

The ICCA GSI works in collaboration with the Convention of Biological Diversity ([CBD](#)), the Global [ICCA Consortium](#), the IUCN Global Programme on Protected Areas ([GPAP](#)); and the UNEP World Conservation Monitoring Centre ([UNEP WCMC](#)). In 2020, with additional support from the BMUV, the GSI launched a COVID-19 response facility to assist Indigenous Peoples and local communities to respond to and recover from the pandemic through nature-based solutions to climate change, biodiversity conservation and ecosystem restoration. Phase 1 of the GSI was announced in 2014 (12M EUR) in 26 participating countries, while the COVID-19 response (15M EUR) was expanded to 45 countries in 2020.

The incumbent of these positions will be UNOPS personnel under its full responsibility.

## 2. Purpose and Scope of Assignment

The Terminal Evaluation (TE) report will assess the achievement of project results against what was expected to be achieved during Phase 1 (including the response to Covid-19, for the period 2014-2024), and draw lessons that can both improve the sustainability of benefits from the programme. The TE is expected to aid in the enhancement of UNDP Nature, Climate, Energy, Chemicals and Waste programming, with particular relevance to the empowerment of Indigenous Peoples and the SDG objective to Leave No-One Behind (LNOB) as part UNDP management response to IEO LNOB evaluation.

The TE report promotes accountability and transparency and assesses the extent of project accomplishments. The TE will be submitted to the BMUV International Climate Initiative (IKI) to inform and accompany Phase 2 of the 'Global Support Initiative for Indigenous Peoples and Community-Conserved Territories and Areas: 30 x 30' (PIMS 6693) which was launched at CBD COP15 in Dec 2022 (22M EUR), and will be running from 2023-2028 in alignment with the Kunming-Montreal Global Biodiversity Framework (GBF).

### Main Responsibilities

## 3. TE Approach & Methodology

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

The TE will review all relevant sources of information, including documents prepared during the preparation phase, including the BMUV proposal development, UNDP Social and Environmental Screening Procedure (SESP), the Project Document, BMUV biannual reports, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that consider useful for this evidence-based evaluation. The incumbent will review the IKI Indicators and project-level tracking tools (i.e., ICCA Security Index and SGP database) before undertaking the TE field missions to target participating countries.

The TE is expected to follow a participatory and consultative approach ensuring regular engagement with the ICCA GSI project team (Programme Manager and Programme Associate); UNDP Vertical Fund oversight and quality assurance colleagues; UNOPS focal point(s) for the programme; GSI global partners (ICCA Consortium, UNEP WCMC, IUCN); SGP Central Programme Management Team (CPMT) and National Coordinators (NCs); government counterparts; UNDP Country Office(s); direct beneficiaries and other stakeholders.

The engagement of stakeholders will be vital to undertake 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, the project board, project beneficiary partners, SGP National Steering Committee (NSC) members including a representative from academia, local government and CSOs. Additionally, the incumbent is expected to conduct field missions to three of the following six countries (to be confirmed): **Ecuador, Malaysia, Madagascar, Mongolia, Panama or Tanzania**, including the small-grant project sites in the target countries.<sup>1</sup> In case of language considerations pertaining to the incumbent selection, alternatives from the list of 45 participating countries may be considered.

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<sup>1</sup> For the Mid-Term Review (MTR) of the ICCA GSI, conducted in 2020 subject to Covid-19 restrictions, the following country assessments were conducted in **Colombia, Morocco, Senegal** and **Vietnam**, and are not as a consequence proposed for country visits as part of the Terminal Evaluation.

The specific design and methodology for the TE should emerge from consultations between the incumbent and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given the limitations of budget, time and data. The incumbent is expected to use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, responsiveness to the UN System-Wide Action Plan on Indigenous Peoples (SWAP), persons with disabilities, 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 (i.e. questionnaires, surveys, interviews, group Zoom/on-line webinars and calls) should be clearly outlined in the inception report and be fully discussed and agreed between UNDP, stakeholders and the incumbent. The final TE report should describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

### **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 VF-financed projects ([insert hyperlink](#)). (The scope of the TE should detail and include aspects of the project to be covered by the TE, such as the time frame, and the primary issues of concern to users that the TE needs to address.

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

The asterisk “(\*)” indicates the criteria for which a rating is required.

#### Findings

##### i. Project Design/Formulation

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

##### ii. 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

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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
- Indigenous Peoples' empowerment
- Cross-cutting issues (SDG leaving no-one behind, poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, as relevant)
- BMUV IKI Additionality
- Catalytic Role / Replication Effect
- Progress to impact

iv. Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE 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 BMUV, including issues in relation to gender equality, women's and Indigenous Peoples' empowerment.
- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
- The TE report should also include lessons that can be taken from the evaluation, including best practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other BMUV IKI and UNDP interventions. When possible, the TE should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to include results related to gender equality and empowerment of women.

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

### 3. Monitoring and Progress Controls

#### Expected Outputs and Deliverables

The incumbent shall prepare and submit:

- **TE Inception Report:** TE clarifies objectives and methods of the TE no later than two weeks before the planned TE country missions. The incumbent submits the Inception Report to the Commissioning Unit and project management. Approximate due date: **[1 February 2024]**

- **Presentation:** The incumbent presents initial findings to project management and the Commissioning Unit at the end of the TE country missions. Approximate due date: **[30 March 2024]**
- **Draft TE Report:** The incumbent submits full draft report with annexes within 3 weeks of the end of the TE mission. Approximate due date: **[15 May 2024]**
- **Final TE Report\*** and Audit Trail: incumbent submits revised report, with Audit Trail detailing how all received comments have (and have not) been addressed in the final TE report, to the Commissioning Unit within one week of receiving UNDP comments on draft. Approximate due date: **[30 June 2024]**

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

All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.<sup>2</sup>

### 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 BPPS Vertical Funds Directorate**.

The Commissioning Unit will contract the consultants and ensure the timely provision of travel arrangements and expenses within the country for the incumbent.

### Duration of the Work

The total duration of the TE will be approximately **[45 working days]** over a time period of **16 weeks** starting **15 Jan 2024** and shall not exceed five months from when the incumbent is hired. The tentative TE timeframe is as follows:

- **20 Dec 2023:** Application closes
- **10 Jan 2024:** Selection of incumbent
- **15 Jan 2024:** Prep the incumbent (handover of project documents)
- **15-25 Jan 2024: 5 days** document review, interviews, and preparing TE Inception Report
- **25-27 Jan 2024: 2 days** Finalization and validation of TE Inception Report- latest start of TE mission
- **28 Jan-14 April 2024: 21 days** TE mission(s) to three countries (**6-7 days** per country) including stakeholder meetings, interviews, and field visits
- **15 April 2024:** Missions wrap-up meeting & presentation of initial findings- earliest end of TE mission
- **16 April-15 May 2024: 15 days:** Preparation of draft TE report, on-line interviews and meetings
- **15 May 2024:** Circulation of draft TE report for comments
- **1-20 June 2024 : 2 days** Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
- **20 June 2024 :** Preparation & Issue of Management Response
- **30 June 2024 :** Expected date of full TE completion

The expected start date of the contract is **15 Jan 2024**.

### Travel and security:

- International travel will be required in three of the following **six countries (tbc): Ecuador, Malaysia, Madagascar, Mongolia, Panama or Tanzania** during the TE mission.
- The BSAFE course must be successfully completed prior to commencement of travel.

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

- The Incumbent responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- The incumbent is 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.

#### 4. Qualifications and Experience

The incumbent cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities. The selection of the evaluator will be assessed in relation to the following areas:

##### Education

- Advanced university degree (Master's or equivalent), preferably in environmental management, social sciences, natural resources, geography, political science and/or other closely related fields.
- First-level university degree (Bachelor's or equivalent) in combination with two (2) additional years of relevant experience may be accepted in lieu of an Advanced university degree;

##### Experience

- Minimum two (2) years of experience in biodiversity conservation, community-based conservation, spatial planning, protected and conserved areas.
- Relevant experience with results-based management evaluation methodologies.
- Experience applying SMART indicators and reconstructing or validating baseline scenarios
- Experience in evaluating projects.
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- Evaluation experience working in Africa, Asia, and/or Latin America.
- Experience in relevant technical areas.
- Understanding of issues related to gender responsive evaluation and analysis.
- Demonstrated expertise relating to Indigenous Peoples' empowerment.
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- Project evaluation/review experience within the United Nations system will be considered an asset.

##### Language

- Fluency in written and spoken English.
- French and/or Spanish full proficiency considered a significant advantage

#### d. Key Competencies



Treats all individuals with respect; responds sensitively to differences and encourages others to do the same. Upholds organizational and ethical norms. Maintains high standards of trustworthiness. Role model for diversity and inclusion.



Acts as a positive role model contributing to the team spirit. Collaborates and supports the development of others. **For people managers only:** Acts as positive leadership role model, motivates, directs and inspires others to succeed, utilizing appropriate leadership styles.



Demonstrates understanding of the impact of own role on all partners and always puts the end beneficiary first. Builds and maintains strong external relationships and is a competent partner for others (if relevant to the role).



Efficiently establishes an appropriate course of action for self and/or others to accomplish a goal. Actions lead to total task accomplishment through concern for quality in all areas. Sees opportunities and takes the initiative to act on them. Understands that responsible use of resources maximizes our impact on our beneficiaries.



Open to change and flexible in a fast paced environment. Effectively adapts own approach to suit changing circumstances or requirements. Reflects on experiences and modifies own behavior. Performance is consistent, even under pressure. Always pursues continuous improvements.



Evaluates data and courses of action to reach logical, pragmatic decisions. Takes an unbiased, rational approach with calculated risks. Applies innovation and creativity to problem-solving.



Expresses ideas or facts in a clear, concise and open manner. Communication indicates a consideration for the feelings and needs of others. Actively listens and proactively shares knowledge. Handles conflict effectively, by overcoming differences of opinion and finding common ground.

Contract holder (Name/Title):	
Signature	Date

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## 1. Annexes to the TE 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 and TE Ratings Table
- ToR Annex G: TE Report Clearance Form
- ToR Annex H: TE Audit Trail template

## Annexes to Terminal Evaluation Terms of Reference

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

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**ToR Annex A: ICCA GSI project results framework (2014)**

**Intended Outcome**

*Improved recognition, support, and overall effectiveness for biodiversity conservation, sustainable livelihoods and resilience to climate change, of territories and areas conserved by indigenous peoples and local communities (ICCAs), through enhanced capacities of all engaged parties, contributing to the achievement of Aichi Targets 11, 14 and 18 of the CBD 2020 Global Biodiversity Strategy, in at least 26 countries.*

Outcome indicators, including baseline and targets (see *Project Monitoring and Planning table* agreed with the BMUB):

**Output 1: *Review, select and approve community-based demonstration and action small grants***

Indicators and baseline. IV1. Rate of deforestation, land degradation, freshwater and marine degradation (ha). Target: Deforestation, land degradation, freshwater and marine degradation rate is reduced by 25% IV3. ICCA Security Index. [baseline score 40-80/150], Target 60-100. IV7. increased income derived from environmentally friendly production and sustainable use activities implemented in each SGP country program. [baseline: variable by country] Target: baseline + 15%. IV8. # of ICCAs and representatives from grassroots organizations receiving support/capacity strengthening on ICCA conservation. [Baseline: variable by country]. Target: At least 150 CSOs by project end. IV10. - # of national strategic documents incorporating ICCAs and related ecosystems as priorities for biodiversity conservation and adaptation to climate change. [baseline # 3], Target 15. IV12. Area of ICCAs secured and positively influenced in SGP country programmes. [baseline variable ha by country] Target: at least 2-4 million ha secured and positively influenced by project end.

**Output 2: *Legal, policy and other forms of support for ICCA recognition and conservation (including governance assessments of protected areas and landscapes)***

Indicators and baseline: IV4. # of territorial planning units (to be defined) that adopt ICCA recognition and governance assessments in the target country programmes. [Baseline # 2] Target: at least 15 territorial planning units. IV5. Number of management plans and governance assessments updated to include ICCA legal and others forms of recognition [Baseline # 3] Target 15. IV6. # of legal and recognition agreements to ensure conservation and sustainable use of ICCAs in targeted areas. [Baseline #:2] Target: 10 agreements.

**Output 3: *Networking, knowledge production and exchange between national CSO initiatives at regional and global levels***

Indicators and baseline: IV9. Good governance assessment and applied practices for sustainable use and conservation of ICCAs and associated biodiversity effectively shared at appropriate scales [baseline: variable, national and regional sharing limited], Target 15. IV11. ICCA conservation efforts are included in the future national reports to the UN CBD [Baseline: currently the role of ICCAs as "other effective area-based forms of conservation under Aichi targets 11, 14 and 18 are not fully captured]. Target: Location, and where relevant/ appropriate, spatial data on ICCAs is included in national CBD reports.

Applicable Key Result Area (from 2014-17 UNDP Strategic Plan): **Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance**

Partnership Strategy: See **Partnership Annex 5**

Project title and ID: **Global ICCA Support Initiative (ICCA-GSI)** ATLAS Award: ICCA - 88250

INTENDED OUTPUTS	OUTPUT TARGETS 2014-2019	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p><b>Output 1:</b> <i>Review, select and approve community-based demonstration and action small grants</i></p>	<ul style="list-style-type: none"> <li>* Deforestation, land degradation, freshwater and marine degradation rate reduced by 25% (in CPS target areas)</li> <li>* ICCA Security Index baseline score increase by at least +25%</li> <li>* Increased income derived from environmentally friendly production and sustainable use activities increase in baseline by at least +15%</li> <li>* At least 150 ICCAs and representatives from grassroots organizations receiving support/capacity strengthening on ICCA conservation</li> <li>* 15 national strategic documents incorporating ICCAs and related ecosystems as priorities for biodiversity conservation and adaptation to climate change</li> </ul>	<ul style="list-style-type: none"> <li>- Inception workshop and preparatory processes to launch ICCA-GSI</li> <li>- Preparation of Country level ICCA plan/strategy</li> <li>- Call for proposals, review, selection of small grants at the country level</li> <li>- Training provided to CSOs in ICCA Security Index and relevant assessment methodologies</li> <li>- National ICCA Registry activities</li> <li>- ICCA Consortium support to national activities (i.e. meet with NSC, workshops, field visits)</li> </ul>	<ul style="list-style-type: none"> <li>- SGP Country Teams</li> <li>- UNDP COs</li> <li>- SGP NSCs</li> <li>- PM, PA, SGP CPMT</li> <li>- UNOPS (Country Operating Budgets)</li> <li>- Sub-contract ICCA Consortium regional focal points (i.e. country support role)</li> </ul>	<p><i>SGP Country Grant allocations (approx \$400,000 per country) by PM and CPMT</i></p> <p><i>Regional workshops and support in application of ICCA Security Index tracking tool by PM and expert consultants/CSO partners</i></p> <p><i>Contracts to translate ICCA Toolkits into local languages</i></p>

	* At least 2-4 million ha of ICCAs secured and positively influenced by project end			
<b>Output 2:</b> <i>Legal, policy and other forms of support for ICCA recognition and conservation (including governance assessments of protected areas and landscapes)</i>	<p>* At least 15 territorial planning units that adopt ICCA recognition and governance assessments</p> <p>* At least 15 management plans and governance assessments updated to include ICCA legal and others forms of recognition</p> <p>* At least 10 legal and recognition agreements to ensure conservation and sustainable use of ICCAs in targeted areas</p>	<ul style="list-style-type: none"> <li>- Engagement of qualified CSOs and expert partners to assess legal and policy context for ICCA recognition</li> <li>- Sub-contract with IUCN GPAP for national governance assessments</li> <li>- Sub-contract with UNEP-WCMC for tracking ICCAs in relation to governance data in WDPA</li> </ul>	<ul style="list-style-type: none"> <li>- Sub-contract s (UNEP-WCMC, IUCN GPAP)</li> <li>- PM, PA, SGP CPMT</li> <li>- SGP Country Teams</li> <li>- UNDP COs</li> </ul>	<p><i>Expert studies</i> commissioned by PM in consultation with TAG and relevant partners</p> <p><i>Regional workshops</i> on ICCA legal, policy and other forms of support</p>

<p><b>Output 3:</b> <i>Networking, knowledge production and exchange between national CSO initiatives at regional and global levels</i></p>	<p>* At least 15 good governance assessment and applied practices for sustainable use and conservation of ICCAs and associated biodiversity effectively shared at appropriate scales</p> <p>* Location, and where relevant/ appropriate, spatial data on ICCA conservation efforts are included in the future national reports to the UN CBD</p>	<ul style="list-style-type: none"> <li>- National ICCA Registry activities</li> <li>- Sub-regional or regional exchange workshops</li> <li>- Participation by PM, SGP NCs, and stakeholders in global KM events (incl. Nov 2014 IUCN World Parks Congress, WPC)</li> <li>- Organise official launch for ICCA-GSI during Nov 2014 WPC (request of the donor)</li> <li>- Sub-contract with UNEP-WCMC for tracking ICCAs in relation to Aichi 2020 targets reporting for Target 11 by governments</li> </ul>	<ul style="list-style-type: none"> <li>- SGP Country Teams</li> <li>- Sub-contract partners (UNEP-WCMC, ICCA Consortium, IUCN GPAP)</li> <li>- UNDP COs</li> <li>- PM, PA, SGP CPMT</li> </ul>	<p><i>Global and regional workshops on networking, knowledge production and exchange between national CSO initiatives</i></p> <p><i>KM outputs and publications (contracts and consultants)</i></p>
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## ToR Annex B: Project Information Package to be reviewed by TE team

#	Item (electronic versions preferred if available)
1	Project concept submission to BMUV
2	Final UNDP-BMUV Project Document with all annexes
3	Full BMUV proposal submission
4	UNDP Social and Environmental Screening Procedure (SESP) and associated management plans
5	Project Appraisal Committee meeting
6	Mid-Term Review report and management response to MTR recommendations
7	All project implementation reports submitted to BMUV
8	Minutes of Project Board Meetings and of Technical Advisory Group (TAG) meetings
9	UNOPS financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
10	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
11	Audit reports conducted by UNOPS of participating countries
12	Electronic copies of project outputs (booklets, manuals, technical reports, articles, etc.)
13	Sample of project communications materials
14	Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants
15	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
16	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)
17	List of related projects/initiatives contributing to project objectives approved/started after BMUV project approval (i.e. any leveraged or "catalytic" results)
18	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
19	List/map of project sites, highlighting suggested visits
20	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted
21	Project deliverables that provide documentary evidence of achievement towards project outcomes

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## ToR Annex C: Content of the TE report

- i. Title page
    - Title of UNDP-supported BMUV-financed project
    - UNDP PIMS ID and BMUV ID
    - TE timeframe and date of final TE report
    - Region and countries included in the project
    - BMUV IKI priority areas
    - Executing Agency, Implementing partner and other project partners
    - TE Team members
  - ii. Acknowledgements
  - iii. Table of Contents
  - iv. Acronyms and Abbreviations
  1. Executive Summary (3-4 pages)
    - Project Information Table
    - Project Description (brief)
    - Evaluation Ratings Table
    - Concise summary of findings, conclusions and lessons learned
    - Recommendations summary table
  2. Introduction (2-3 pages)
    - Purpose and objective of the TE
    - Scope
    - Methodology
    - Data Collection & Analysis
    - Ethics
    - Limitations to the evaluation
    - Structure of the TE report
  3. Project Description (3-5 pages)
    - Project start and duration, including milestones
    - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
    - Problems that the project sought to address: threats and barriers targeted
    - Immediate and development objectives of the project
    - Expected results
    - Main stakeholders: summary list
    - Theory of Change
  4. Findings
-

(in addition to a descriptive assessment, all criteria marked with (\*) must be given a rating<sup>3</sup>)

#### 4.1 Project Design/Formulation

- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector

#### 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 incl. Social and Environmental Standards (Safeguards)

#### 4.2 Project Results

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

<sup>3</sup> See ToR Annex F for rating scales.

**5. Main Findings, Conclusions, Recommendations & Lessons**

- Main Findings
- Conclusions
- Recommendations
- Lessons Learned

**6. 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

**ToR Annex D: Evaluation Criteria Matrix template**

<b>Evaluative Criteria Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Relevance: How does the project relate to the <b>main objectives of the BMUV IKI</b> , and to the environment and development priorities a the local, regional and national level?			
<i>(include evaluative questions)</i>	<i>(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)</i>	<i>(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)</i>	<i>(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)</i>

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:

- 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 expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
- 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.
- 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.
- 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.
- Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
- Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
- 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:

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

<b>TE Rating Scales</b>	
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

<b>Evaluation Ratings Table</b>	
Monitoring & Evaluation (M&E)	Rating <sup>4</sup>
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	

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

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	

### ToR Annex G: TE Report Clearance Form

**Terminal Evaluation Report for** 'Global Support Initiative for Indigenous Peoples and Community-Conserved Territories and Areas (ICCA-GSI) Phase 1 (PIMS 5199 + 6625)

**Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Senior Technical Advisor (Nature, Climate and Energy)**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### ToR Annex H: TE Audit Trail

To the comments received on [Target: 30 Aug 2024] from the Terminal Evaluation of 'Global Support Initiative for Indigenous Peoples and Community-Conserved Territories and Areas (ICCA-GSI)' (PIMS 5199) extended with additional top-up funding from the BMUV (PIMS 6625).

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):

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