

TERMS OF REFERENCE

TERMINAL EVALUATION TERMS OF REFERENCE

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the “*Technology transfer and market development for SHP (small-scale hydropower) in Tajikistan*” project (PIMS #4324.)

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

PROJECT SUMMARY TABLE

Project Title:	Technology transfer and market development for SHP in Tajikistan			
GEF Project ID:	4324		<u>at endorsement</u> <i>(Million US\$)</i>	<u>at completion</u> <i>(Million US\$)</i>
UNDP Project ID:	77414	GEF financing:	2.025	2.025
Country:	Tajikistan	IA/EA own:	1.33	1.33
Region:	RBEC	Government:	1.5	6
Focal Area:	Climate Change	Other:	3.67	3.7
FA Objectives, (OP/SP):	CC-SP3-RE (GEF-4)	Total co-financing:	6.5	11.030
Executing Agency:	UNDP	Total Project Cost:	8.525	13.055
Other Partners involved:	Ministry of Energy and Water Resources	ProDoc Signature (date project began):		1 Apr 2012
		(Operational) Closing Date:	Proposed: Apr 2016	Actual: Dec 2017

OBJECTIVE AND SCOPE

The project was designed to: significantly accelerate the development of SHP by removing barriers through enabling legal and regulatory framework, capacity building and developing sustainable delivery models, thus substantially avoiding the use of conventional biomass and fossil fuels for power and other energy needs. The project aims to do this by introducing a regulatory framework to supply the grid with electricity generated SHP through sustainable delivery models and financing mechanisms and assist the Government in attracting funding for SHP investments.

The GEF financed, UNDP implemented “Technology transfer and market development for SHP in Tajikistan” is a four-year¹ project implemented directly by UNDP’s Energy and Environment Programme. The responsible national partner for the execution of the project is the Ministry of Energy and Water Resources of the Republic of Tajikistan. The project has a GEF budget of USD 2,000,000 and UNDP’s co-financing commitments of USD 1,330,000, and the potential co-financing commitments from the Government, private sector and other UNDP projects (including in-kind contribution) is USD 5,120,000. The Project Document was signed between the Ministry of Energy and Industry (currently the Ministry of Energy and Water Resources) of the Republic of Tajikistan and UNDP Country Office on 19 March 2012.

The aim of the project is to initiate UNDP Tajikistan’s strategy – the scaling up of pilot activities for the acceleration of progress towards the achievement of MDGs with a particular focus on improving access to renewable energy in rural regions for the purpose of poverty reduction and triggering economic development. Its conceptualization falls within the frame of the Poverty Reduction Strategy III and National Development Strategy, which have been recognized to have no focus on promoting use of abundant renewable potential for poverty reduction, development and building environmental resilience.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

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

EVALUATION APPROACH AND METHOD

An overall approach and method² for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR ([Annex C](#)) The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF Operational Focal Point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator(s) is expected to conduct a field mission to Dushanbe, Tajikistan, including the project sites in Ayni, Dusti, Garm and Shohin districts. Interviews will be held with the following organizations and individuals at a minimum: Ministry of Energy and Water Resources (former Ministry of Energy and Industry); Tajik Technical University; Association of

¹ The project was extended for additional 20 months. The new closing date is 31 December 2017.

² For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

Energy Professionals; CJSC “Energoremont”; SUE “Korgohi Mashinasozi”; Tajik-Norwegian Center for Sustainable Development; sHPP operators; local authorities and community leaders.

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

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

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

PROJECT FINANCE / COFINANCE

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

Co-financing (type/source)	UNDP own financing (mill. US\$)	Government (mill. US\$)	Partner Agency (mill. US\$)	Total (mill. US\$)

	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
<ul style="list-style-type: none"> In-kind support 								
<ul style="list-style-type: none"> Other 								
Totals								

MAINSTREAMING

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

IMPACT

The evaluator will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.³

CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons**.

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in *Tajikistan*. The UNDP CO will contract the evaluator and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the evaluation team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

EVALUATION TIMEFRAME

The total duration of the evaluation will be 20 days according to the following plan:

Activity	Timing	Completion Date
Preparation	2 days	<i>5 July 2017</i>
Evaluation Mission	7 days	<i>1 August 2017</i>
Draft Evaluation Report	9 days	<i>25 August 2017</i>
Final Report	2 days	<i>14 September 2017</i>

³ A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

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

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

TEAM COMPOSITION

The evaluation team will be composed of *(1 international evaluator and 1 national evaluator)*. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. *The international evaluator is designated team leader and is responsible for finalizing the report.* The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The evaluation team member must present the following qualifications:

I. Academic Qualifications:

- Advanced post-graduate university degree (Masters and/or PhD) in Renewable Energy Sources Management, Natural Resource Management, Environmental Economics, Physics or other related areas

II. Years of experience:

- At least 10 years of professional experience for international evaluator and 7 years for national evaluator in providing management or consultancy services to the renewable energy and energy efficiency projects, preferably with components on small hydropower plants development;
- Professional experience in monitoring and / or evaluating of GEF-financed projects for UN or other international development agencies (at least in one project);

III. Functional competencies:

- Knowledge and experience with programming development, monitoring and evaluation;
- Consistently approaches work with energy and a positive, constructive attitude;
- Demonstrates openness to change, flexibility, and ability to manage complexities;

- Ability to work under pressure and with multi-disciplinary and multicultural teams and possess excellent inter-personal skills;
- Demonstrates strong written and oral communication skills;
- Remains calm, in control, and good humoured even under pressure;
- Proven networking, team-building, organizational and communication skills;
- Recognized expertise in the renewable energy and energy efficiency and excellent understanding of climate change issues;
- Familiarity with renewable energy and energy efficiency in CIS is an asset;

IV. Corporate Competencies:

- Demonstrates integrity by modeling the UN’s values and ethical standard;
- Promotes the vision, mission, and strategic goals of the UN;
- Displays cultural, gender, religion, race, nationality, and age sensitivity and adaptability;
- Treats all people fairly without favoritism;

V. Languages:

- Fluency in English is required;
- Fluency in Russian will be considered an asset.

EVALUATOR ETHICS

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

PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
<i>10%</i>	At contract signing
<i>40%</i>	Following submission and approval of the 1st draft terminal evaluation report
<i>50%</i>	Following submission and approval (by UNDP-CO and UNDP Regional Technical Advisor) of the final terminal evaluation report

ANNEX A: PROJECT LOGICAL FRAMEWORK⁴

This project will contribute to achieving the following Country Programme Outcome as defined in CPD: Outcome 6: Improved environmental protection, sustainable natural resources management, and increased access to alternative renewable energy.					
Country Programme Outcome Indicators:					
Key Indicator (1): Number of alternative renewable technologies demonstrated.					
Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): Mainstreaming Environment and Energy					
Applicable GEF Strategic Objective and Program: To promote on-grid renewable energy - CC-SP3-RE					
Applicable GEF Expected Outcomes: Total avoided GHG emissions from hydropower generation.					
Applicable GEF Outcome Indicators: Avoided GHG emissions from hydropower generation (tons CO ₂ /kWh); and \$/t CO ₂ .					
Strategy	Indicator	Baseline	Targets	Means of Verification	Risks and Assumptions
Goal: Reduction of GHG emissions from energy use by rural and remote communities	Avoided GHG emissions from rural communities' energy use by end of project (EOP), ktCO ₂	0	14.4 ktCO ₂ ⁵	Project Annual reports; GHG emissions monitoring and verification reports, final evaluation	The target for sHPPs was scaled back during the Inception Phase from 27 to 10 sHPPs to the current number of 7 SHPPs based on anticipated delays in building local manufacturing capacity. This scale-back has had the impact of reducing the achievable direct GHG emission reduction
	Avoided GHG emissions from rural communities' energy use by end of project influence period, 10 years (EOPIP), ktCO ₂	0	59.91 ktCO ₂ ⁶		

⁴ The logical framework has been updated in 2015 as a result of the Mid-term evaluation

⁵ The target was revised as a result of the mid-term evaluation in 2015. The overall numbers of the sHPPs have been scaled down from 10 sHPPs to current 7 SHPPs.

⁶ The target was revised as a result of the mid-term evaluation in 2015. The overall numbers of the sHPPs have been scaled down from 10 sHPPs to current 7 SHPPs

Strategy	Indicator	Baseline	Targets	Means of Verification	Risks and Assumptions
					targets: <ul style="list-style-type: none"> Cumulative direct GHG reductions to end-of-project (EOP) of less than 2,000 tonnes CO₂ (based on current plans for developing 7 sHPPs plus the completion of 5 sHPPs developed and financed by the GoT) in comparison to the cumulative EOP target of 45,000 tonnes CO₂; and Lifetime direct GHG reductions (assuming a 30-yr lifetime of the aforementioned sHPPs) of 59,910 tonnes CO ₂ in comparison to the lifetime direct target of 244,000 tonnes CO ₂
Objective: Significantly accelerate the development of small-	<ul style="list-style-type: none"> No. of new small hydropower projects under implementation by EOP 	<ul style="list-style-type: none"> 1 	<ul style="list-style-type: none"> 10⁸ 	Individual SHP project reports, Performance reports	Continued commitment of project partners, including

⁸ The projects are in various stages of development (assessment , feasibility, construction, operation). The target was revised as a result of the mid-term evaluation in 2015. The overall numbers of the sHPPs have been scaled down from 10 sHPPs to current 7 sHPPs.

Strategy	Indicator	Baseline	Targets	Means of Verification	Risks and Assumptions
scale hydropower (SHP) by removing barriers through enabling legal and regulatory framework, capacity building and developing sustainable delivery models, thus substantially avoiding the use of conventional biomass and fossil fuels for power and other energy needs.	<ul style="list-style-type: none"> • Minimum No. of fully operational SHPs by EOP • Annual electricity generation from newly installed sHPPs by EOP, MWh/yr • Cumulative electricity generation from newly installed SHPs by EOPIP, MWh 	<ul style="list-style-type: none"> • 0⁷ • 0 • 0 	<ul style="list-style-type: none"> • 5 • 2,430 • 6,500 	of operational SHPs; Project's annual reports, GHG monitoring and verification reports. Project final evaluation report.	Government agencies and investors/developers
Outcomes					
Outcome 1: Adapted and enhanced legislative and regulatory framework for small-scale hydropower development in the country.	<ul style="list-style-type: none"> • Adopted regulation operationalizing RES Law 	No regulations in support of RES Law	Rules and regulations adopted by end of Year 1	Published documents. Government decrees/laws. Project progress reports	Commitment of the various Government institutions to adopt and capacities to enforce required bylaws are in place; Low turn-over of trained government staff
Output 1.1: Formulated, approved and enforced implementing rules and regulations (IRRs) of the new Law for RES that will facilitate actions geared towards the enhancement of the	<ul style="list-style-type: none"> • Simplified procedures and principles for the licensing and construction of SHP facilities • National RE/EE Fund • 	<ul style="list-style-type: none"> • RES Law includes a number of prov 	<ul style="list-style-type: none"> • Procedures adopted by end of Year 1 • • National RE/EE 	<ul style="list-style-type: none"> • Published IRRs • Project report documenting the status of IRRs enforcement • Project report on the status of 	Commitment of the various Government institutions to adopt and capacities to enforce required bylaws are in place

⁷ Many SHP constructed in the past are malfunctioning; none connected to the grid and few investments in SHP take place, except for by isolated donor-funded projects

Strategy	Indicator	Baseline	Targets	Means of Verification	Risks and Assumptions
market environment for SHP		isions to facilitate investment in grid-connected RE projects, but they are not operationalized	Fund set-up and is operational by end of Year 2	operations of RE and EE Fund <ul style="list-style-type: none"> • Same as above • Same as above 	
Output 1.2: Central and local government institutions with enhanced capacities to develop and coordinate SHP projects.	<ul style="list-style-type: none"> • # staff members from relevant central and local government institutions trained in developing and coordinating SHP projects 	<ul style="list-style-type: none"> • 0 	<ul style="list-style-type: none"> • 30 staff members trained by the end of Year 2 	<ul style="list-style-type: none"> • Training reports • 	Low turn-over of trained central and municipal staff is ensured
Outcome 2: Enhanced technical and planning know-how and	<ul style="list-style-type: none"> • % of the total SHP installed cost provided by locally made goods and services 	<ul style="list-style-type: none"> • 5-10% 	<ul style="list-style-type: none"> • 50% by the end of Year 4 	<ul style="list-style-type: none"> • Project report on SHP market chain 	Potential market chain actors are interested in SHP projects

Strategy	Indicator	Baseline	Targets	Means of Verification	Risks and Assumptions
developed market chain for SHP in Tajikistan				development	Demand for SHP is on the rise as a result of establishing favorable policy framework
Output 2.1: Guidebook on technical and policy aspects of SHP project development (to be used in all trainings to be delivered by the project)	<ul style="list-style-type: none"> • Guidebook on SHP project development 	<ul style="list-style-type: none"> • 0 	<ul style="list-style-type: none"> • Guidebook on SHP project development prepared and disseminated by the end of Year 1 	<ul style="list-style-type: none"> • Published capacity needs assessment • Training reports • Same as above • Same as above • Same as above 	<ul style="list-style-type: none"> • Commitment of partners to release staff for training program is in place • Commitment of universities and technical school to introduce new curricula is in place
Output 2.2: Local workshops and manufacturers with enhanced capacities to install, construct, manufacture and repair SHP system equipment and components	<ul style="list-style-type: none"> • Technology transfer and capacity development plan prepared for selected local manufacturers • 	<ul style="list-style-type: none"> • 0 • 0 	<ul style="list-style-type: none"> • 2 technology transfer and capacity development plan prepared by the end of Year 1 	<ul style="list-style-type: none"> • Project report on SHP market chain development 	<ul style="list-style-type: none"> • Interest of potential SHP market chain actors in provided capacity building and technology transfer is insured

Strategy	Indicator	Baseline	Targets	Means of Verification	Risks and Assumptions
Output 2.3: Vocational training program for technicians involved in SHP design/construction and O&M	<ul style="list-style-type: none"> # of technicians annually undertaking vocational training on SHP 	<ul style="list-style-type: none"> 0 	<ul style="list-style-type: none"> 20 technicians annually undertaking vocational training on SHP starting from Year 2 	<ul style="list-style-type: none"> Training report 	<ul style="list-style-type: none"> Interest of local education institutions
Outcome 3: Improved confidence on the technical and economic viability of integrated SHP-based rural development model	<ul style="list-style-type: none"> No. of SHP demos/pilots incorporating aspects of productive uses and livelihood support for host communities 	<ul style="list-style-type: none"> 0 	<ul style="list-style-type: none"> At least 5 community-owned SHP projects operate on a sustainable basis and at least 5 additional are under construction by the end of Year 4 	Reports on pilot SHPs operations	<p>Availability of local people with sufficient technical education and managerial experience</p> <p>Participation of local level government</p>
Output 3.1: Technical studies, political commitments and institutional			<ul style="list-style-type: none"> FS for 2 sites by end of 	Report on implementation of pilot SHP projects	Same as above

Strategy	Indicator	Baseline	Targets	Means of Verification	Risks and Assumptions
framework secured for pilot SHP projects	<ul style="list-style-type: none"> • Feasibility studies • No. of integrated district development plans (IDDPs) • No. of SHP projects in the pipeline 	<ul style="list-style-type: none"> • 0 • 0 • 0 	<ul style="list-style-type: none"> Year 1, 3 sites - by end of Year 2, 5 sites - by end of Year 3 • IDDP for 2 districts by end of Year 2, 3 districts - by end of Year 3 • At least 5 further SHP projects identified and construction started (without direct project support) 	Integrated District Development Plans	
Output 3.2: Operational SHP demos/pilots in selected communities , demonstrating the	<ul style="list-style-type: none"> • No. of operational demo/pilot SHP plants by EOP ○ 	<ul style="list-style-type: none"> • 0 	<ul style="list-style-type: none"> • 5 	Report on implementation of pilot SHP projects	Same as above

Strategy	Indicator	Baseline	Targets	Means of Verification	Risks and Assumptions
viability of the technology and O&M&M models					
Output 3.3: Pilot SHP operations sustained	<ul style="list-style-type: none"> • No. of PPAs signed for purchase of power from pilot SHP plants by EOP • No. of local business supported in pilot localities 	<ul style="list-style-type: none"> • 0 • 0 	<ul style="list-style-type: none"> • At least 2 by the end of Year 3 • 5 by the end of Year 4 	Report on implementation of pilot SHP projects	Same as above
Outcome 4: National Scaling-up Programme of Renewable Energy-based Integrated Rural Development	<ul style="list-style-type: none"> • Adopted and financed National Scaling-up Program 	N/a	<ul style="list-style-type: none"> • Adopted and financed National Scaling-up Program by the end of Year 4 	<ul style="list-style-type: none"> • Officially approved and published national scaling up plan 	<ul style="list-style-type: none"> • Data on project impacts and results properly documented and made available to consultants
Output 4.1:	<ul style="list-style-type: none"> • Project results and Lessons 	<ul style="list-style-type: none"> • N/a 	<ul style="list-style-type: none"> • Project results and 	<ul style="list-style-type: none"> • Project results and Lessons 	Data on project impacts and results

Strategy	Indicator	Baseline	Targets	Means of Verification	Risks and Assumptions
Project results assessed, analyzed and compiled into comprehensive national report	<ul style="list-style-type: none"> learnt report 		Lessons learnt report prepared by end of Year 4	<ul style="list-style-type: none"> learnt report Project report on GHG emission reduction monitoring 	properly documented and made available to consultants
Output 4.2: Conference on integrated renewable-energy based rural development organized	<ul style="list-style-type: none"> Conference on integrated renewable-energy based rural development 	<ul style="list-style-type: none"> N/a 	<ul style="list-style-type: none"> Conference on integrated renewable-energy based rural development organized by the end of Year 4 	<ul style="list-style-type: none"> Conference report 	Data on project impacts and results properly documented and made available to consultants
Output 4.3 Approved and funded proposal for national scaling up of the SHP demos/pilots	<ul style="list-style-type: none"> Annual amount of governmental incentives allocated to support investment in new SHP plants under the scale-up plan by EOP, US\$ 	<ul style="list-style-type: none"> N/a 	<ul style="list-style-type: none"> 3,500,000 US\$ 	<ul style="list-style-type: none"> Officially approved and published national scaling up plan 	Government commitment to promote SHP development and utilization is sustained

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

<i>Document</i>	<i>Description</i>
<i>Project document</i>	<i>Project Document</i>
<i>Project reports</i>	<i>Inception Report;</i> <i>Mid-Term Review;</i> <i>Project Implementation Reports (PIRs);</i> <i>Steering committee meeting minutes;</i> <i>Annual work plans;</i> <i>Annual financial reports;</i> <i>Audit result;</i> <i>Relevant tracking tools</i>
<i>Annual Project Report to GEF</i>	<i>PIR 2013, PIR 2014, PIR 2015, PIR 2016</i>
<i>Other relevant materials:</i>	<i>Maps, reports of the national and international consultants as relevant, project key document outputs, brochures and other materials</i>

ANNEX C: EVALUATION QUESTIONS

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

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
•	•	•	•
•	•	•	•
•	•	•	•
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
•	•	•	•
•	•	•	•
•	•	•	•
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
•	•	•	•
•	•	•	•
•	•	•	•
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
•	•	•	•
•	•	•	•
•	•	•	•

Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?

•	•	•	•
•	•	•	•

ANNEX D: RATING SCALES

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

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

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

Evaluation Consultant Agreement Form⁹

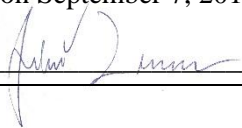
Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Jiří Zeman

Name of Consultancy Organization (where relevant): _____

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

Signed at *Prague* on September 7, 2017

Signature: 

⁹www.unevaluation.org/unegcodeofconduct

ANNEX F: EVALUATION REPORT OUTLINE¹⁰

- i.** Opening page:
 - Title of UNDP supported GEF financed project
 - UNDP and GEF project ID#s.
 - Evaluation time frame and date of evaluation report
 - Region and countries included in the project
 - GEF Operational Program/Strategic Program
 - Implementing Partner and other project partners
 - Evaluation team members
 - Acknowledgements
- ii.** Executive Summary
 - Project Summary Table
 - Project Description (brief)
 - Evaluation Rating Table
 - Summary of conclusions, recommendations and lessons
- iii.** Acronyms and Abbreviations
(See: UNDP Editorial Manual¹¹)
- 1.** Introduction
 - Purpose of the evaluation
 - Scope & Methodology
 - Structure of the evaluation report
- 2.** Project description and development context
 - Project start and duration
 - Problems that the project sought to address
 - Immediate and development objectives of the project
 - Baseline Indicators established
 - Main stakeholders
 - Expected Results
- 3.** Findings
(In addition to a descriptive assessment, all criteria marked with (*) must be rated¹²)
- 3.1** Project Design / Formulation
 - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
 - Planned stakeholder participation
 - Replication approach
 - UNDP comparative advantage
 - Linkages between project and other interventions within the sector
 - Management arrangements
- 3.2** Project Implementation

¹⁰The Report length should not exceed 40 pages in total (not including annexes).

¹¹ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

¹² Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- Adaptive management (changes to the project design and project outputs during implementation)
- Partnership arrangements (with relevant stakeholders involved in the country/region)
- Feedback from M&E activities used for adaptive management
- Project Finance:
- Monitoring and evaluation: design at entry and implementation (*)
- UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues

3.3 Project Results

- Overall results (attainment of objectives) (*)
- Relevance(*)
- Effectiveness & Efficiency (*)
- Country ownership
- Mainstreaming
- Sustainability (*)
- Impact

4. Conclusions, Recommendations & Lessons

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives
- Best and worst practices in addressing issues relating to relevance, performance and success

5. Annexes

- ToR
- Itinerary
- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Evaluation Question Matrix
- Questionnaire used and summary of results
- Evaluation Consultant Agreement Form

ANNEX G: EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final report)

Evaluation Report Reviewed and Cleared by	
UNDP Country Office	
Name: _____	
Signature: _____	Date: _____
UNDP GEF RTA	
Name: _____	
Signature: _____	Date: _____

September 7, 2017

Jiří Zeman

