

TERMS OF REFERENCE

Final Evaluation of the Local Climate Adaptive Living Facility (LoCAL)

Countries in which the programme is implemented	Phase I: The Gambia, Lao PDR , Lesotho, Nepal, Mali, Tanzania and Tuvalu Phase II: Ghana, Niger, Bangladesh, Benin and Mozambique Phase III: Bhutan and Cambodia Scoping/Design: Burkina Faso, Cote d'Ivoire, Fiji, Guinea, Jamaica, Liberia, Malawi, Sao Tomé e Principe, Senegal, Solomon Islands, Sudan, Uganda and Vanuatu
Executing Agency	UNCDF
Partner organisations	
Timeframe	2014-2022
Programme budget	<ul style="list-style-type: none">• Total budget: USD 80,000,000• Committed: USD 99,070,654 (Q4 2020)• Disbursed (Q4 2020): USD 42,140,442

Evaluation during a crisis: COVID-19

As COVID-19 spreads globally, it is a massive health, humanitarian, and development crisis. UNCDF Evaluation Unit remains operational and is adapting the way it works and manages evaluations. Our priority is the safety of our staff, consultants and stakeholders while trying to ensure that UNCDF continues to benefit from high quality evaluative evidence to support its strategic learning and accountability.

The text boxes “Evaluation during a crisis: COVID-19” throughout these TOR provide additional information, including on how the conduct of this evaluation will be affected by COVID-19.

1. Programme description

1.1. Background: climate resilience and local governments

Climate change is a global challenge, but its effects are not experienced equally. Developing countries – especially least developed countries (LDCs), small island developing states (SIDS) and African nations – and their populations are among those most exposed to climate change. A large proportion of developing countries and LDCs are located in geographical areas where climate change can have drastic impacts on people’s living conditions. Specifically, the largely rural character of many of these countries means that the impact of climate change can have extremely severe repercussions on the natural resource base on which livelihoods rely (LoCAL annual report 2020). While much attention is given to international climate negotiations and actions in which central governments participate, the impacts of climate change are most dramatically observed and experienced at the local level. Local government authorities in the least developed countries (LDCs) and other vulnerable countries, particularly small island developing states (SIDS) and African nations, are in a unique position to identify climate change adaptation responses that best meet local needs. Moreover, they typically are mandated to undertake the small to medium sized adaptation investments needed to build climate resilience. Yet they frequently lack the resources to do so – particularly in a way aligned with established local decision-making processes and planning and budgeting cycles.

Parties to the United Nations Framework Convention on Climate Change (UNFCCC)¹ recognize – as spelled out in the Paris Agreement – the local and subnational dimensions of adaptation in protecting people, livelihoods and ecosystems in response to climate change (Article 7, Paris Agreement); the need to foster country ownership in climate action response capacity building, including at the subnational and local levels (Article 11); and the importance of taking into account the urgent needs of developing country parties that are particularly vulnerable to climate change (Article 7).

Despite this recognition, support for mitigation remains greater than for adaptation. According to the most recent UNFCCC Biennial Assessment and Overview of Climate Finance Flows, adaptation accounted for less than a third of bilateral financing flows provided by various funders².

Some observers note that less than 20 per cent of adaptation funding flows to the most vulnerable communities in the most vulnerable countries (ICCDP, 2019).

1.2. The Local Climate Adaptive Living Facility (LoCAL)

The Local Climate Adaptive Living Facility (LoCAL) was launched by UNCDF in 2011 to promote climate change–resilient communities and local economies by establishing a standard, internationally recognized country-based mechanism to channel climate finance to local government authorities in developing countries, particularly the LDCs.

The overall development goal of LoCAL is to promote climate-change-resilient communities and local economies by increasing investments in climate change adaptation at the local level in target

¹ https://unfccc.int/sites/default/files/english_paris_agreement.pdf

² ‘Bilateral finance flows from OECD-DAC [Organisation for Economic Co-operation and Development Development Assistance Committee] providers had the greatest proportion intended for adaptation (29 per cent) in the period 2015–2016, followed by multilateral climate funds (25 per cent) and MDBs [multilateral development banks] (21 per cent).’ The UNFCCC report acknowledges an increase in contributions earmarked for both mitigation and adaptation which ‘makes it more difficult to track the progress made in ramping up adaptation finance’ (UNFCCC, 2018: 10–11).

countries, thereby contributing to the achievement of the Paris Agreement and the Sustainable Development Goals (SDGs), particularly the specific goals of poverty eradication (SDG1) and climate action (SDG13).

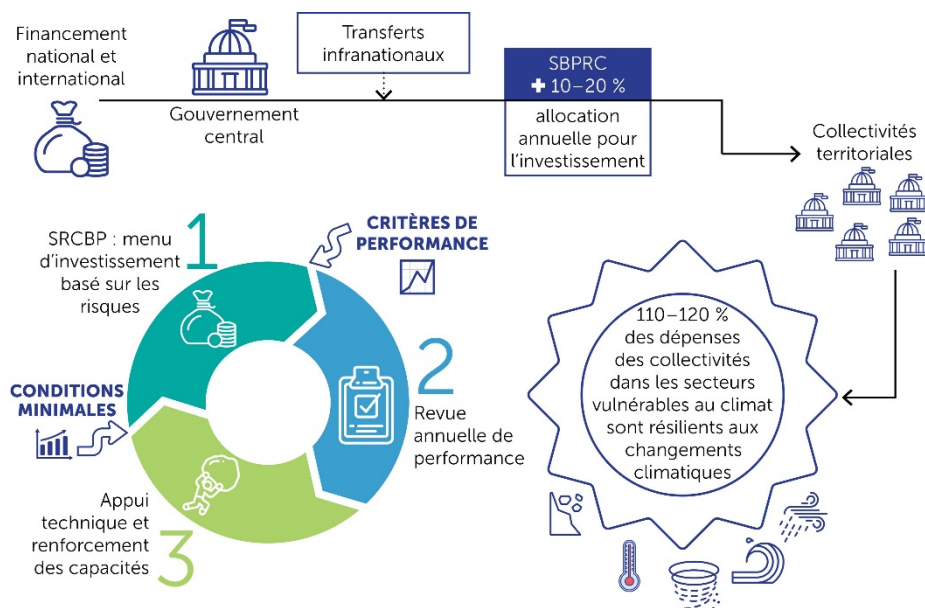
The expected strategic outcomes of LoCAL are:

- Increased local government access to climate finance to implement climate change adaptation investments in participating countries (Outcome 1)
- Establishment of a standard and internationally recognized country-based mechanism to channel climate finance and increase local resilience through PBCRGs (Outcome 2).

LoCAL combines performance-based climate resilience grants (PBCRGs) – which ensure programming and verification of climate change expenditures at the local level while offering strong incentives for performance improvements in enhanced resilience – with technical and capacity-building support. The intended programme outcomes for LoCAL are as follows:

- Output 1: Awareness and capacities to respond to climate change adaptation at the local level are increased
- Output 2: CCA is mainstreamed into government’s planning and budgeting systems and investments are implemented in line with the PBCRG mechanism
- Output 3: The PBCRG system is effectively and sustainably established in participating countries and leads to an increased amount of CCA finance available to local government and local economy
- Output 4: The role of local authorities and of the PBCRGs in addressing climate change are increasingly recognized at international level, through outreach, learning and quality assurance

As shown below, PBCRGs are channeled through existing fiscal transfer mechanisms in the countries where LoCAL is involved.



To ensure accountability and relevance, PBCRGs include minimum conditions, performance measures and a menu of eligible investments aligned with NAPs and NDCs. For local governments to be eligible to access the grants, they must meet and remain in compliance with a set of minimum conditions which ensure that a certain level of capacity is in place to handle the funds and that funds are adequately used year to year. Performance measures are applied through an annual assessment to incentivize local governments to increase performance across. The local adaptation responses selected and implemented by the grants are informed by local climate risk assessments and a menu of eligible investments (itself informed by national climate risk assessments). The performance measures are used to adjust the level of funding made available to the local government year to year as well as inform the technical and capacity-building support needed. Where local governments are found not to have met the minimum conditions, actions are undertaken to help address the identified gaps and lags.

The major operational components of the LoCAL mechanism on the ground, putting all the LoCAL components in place typically involves:

- Undertaking local climate risk assessments to inform adaptation planning and mainstreaming
- Integrating adaptation in a participatory and gender-sensitive manner in their local development planning and budgeting processes
- Disbursing grants in the context of local governments' annual planning and budgeting cycles
- Developing, selecting and implementing adaptation measures
- Appraising performance to determine how additional resources have been used and conducting audits as part of a regular national process; these performance results inform the next year's PBCRG allocations and capacity-building support
- Providing capacity-building and technical support activities to identified needs at the policy, institutional and individual levels

LoCAL is systemic and scalable, as it uses government systems rather than project or parallel approaches, flexible and sustainable, as it is tailored to national circumstances and contextualized for local climate responses and standardized, in its design, quality assurance, monitoring and reporting.

The mechanism operates in three distinct phases, each associated with specific criteria to determine its degree of maturity in the respective country:

- Phase 1 (piloting) involves an initial testing in a small number of local governments. It introduces the LoCAL PBCRG grant over one or two fiscal cycles; tests the relevance of the investment menu and fine-tunes the design of the mechanism's key features in view of Phase 2.
- Phase 2 (consolidating) is designed based on the lessons of the previous phase. It takes place in a minimum of 5 to 10 local governments in a country. The purpose of this phase is to demonstrate the effectiveness of local and create the conditions for a national rollout of the methodology.
- Phase 3 (scaling-up) is a rollout of the LoCAL PBCRG in the country based on the results and lessons of the previous phases. It is gradually extended to all local governments.

LoCAL operates primarily in LDCs, working with local governments at the lowest or second-lowest tier and with small towns of under 600,000 people. In this way, it engages with those authorities closest to local communities and vulnerable groups.

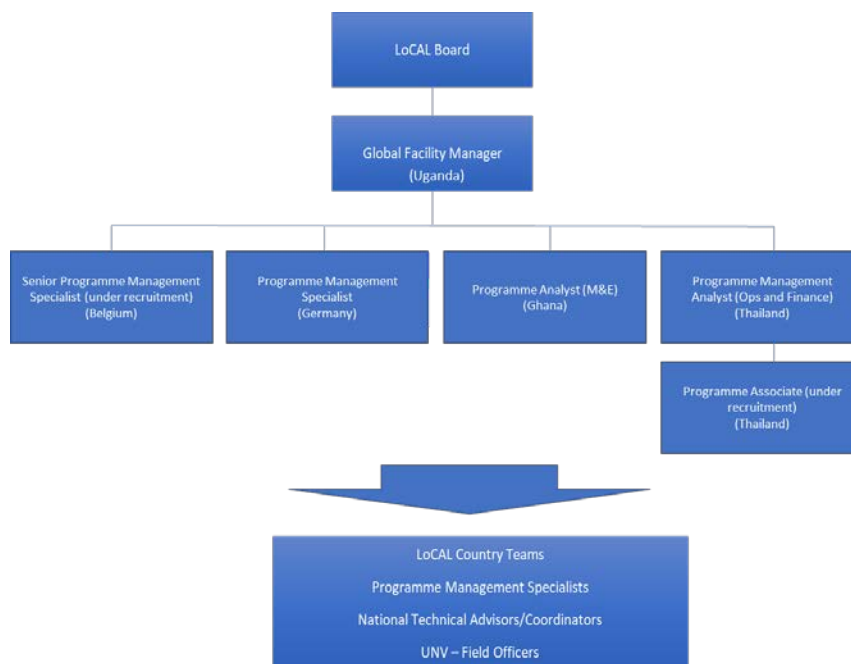
1.3. LoCAL implementation and governance

LoCAL is implemented globally by a Global Secretariat led by the Global Programme Manager and supported by (Senior) Programme Management Specialists, two Programme Analysts (M&E, Finance and Operations) and a Programme Associate. The Global Secretariat provides advisory and programme management support to LoCAL countries and country teams, staffed with Programme Management Specialists, National Technical Advisors/Coordinators and/or National UN Volunteers deployed as field officers depending on the phase of operations. The Global Secretariat reports to the LoCAL Global Board, which is co-chaired by the Chair of the LDCs to the UN and of UNFCCC, as well as the UNCDF Director of Local Development Finance and comprised of representatives of the Governments that are members of LoCAL, as well as observer organizations. Figure below illustrates the LoCAL management structure.

LoCAL is implemented through MoUs with the participating countries, which detail the specific activities to be carried out in each country and includes the financing of the PBCRG. Operational costs in each country are financed separately through LoAs. The National Implementing Partner (designated Ministry or Agency) is responsible for the implementation of the MoUs and LoAs, with LoCAL technical support. The LoCAL Secretariat, with support from country teams, oversees the implementation of MoUs and LoAs in each participating country.

For more detail on LoCAL staffing, please refer to Annex 3.

Figure : LoCAL Management Structure



1.4. Monitoring framework

LoCAL has three main layers for monitoring and results management:

- LoCAL Results Framework monitors results versus targets at the global LoCAL Facility level. The LoCAL Secretariat, with support from country offices, ensure annual monitoring and reporting on indicators. At the conclusion of its first period of global expansion (2014–2018), a streamlined Results Framework was put in place to guide LoCAL operations in its second phase (2019-2022) (see annexes).
- At the country level, LoCAL country programmes have, most of the time, their own results frameworks, which are aligned to LoCAL Global Results Framework but may include additional result areas (e.g., green jobs, women economic empowerment, etc.) based on contexts for LoCAL deployment. In country teams, with support and quality assurance by the LoCAL Secretariat, ensure bi-annual or annual monitoring (depending on programmes/projects' specific M&E frameworks).
- At the local/investment level, LoCAL has developed in partnership with WRI the 'Assessing Climate Change Adaptation Framework' (ACCAF)³ – an M&E tool to track and monitor adaptation benefits at the local level through PBCRG-financed investments. The ACCAF feeds into the Global Results Framework (investment level) and it is aligned to LoCAL design, supporting the countries and the Facility to assess the mainstreaming of the adaptation dimension within LoCAL implementation. Partner local governments with support and quality assurance by country offices and LoCAL Secretariat ensure annual monitoring and reporting on the ACCAF.

At both Global Facility and country programme/project level, UNCDF/LoCAL has commissioned a series of independent evaluations as well as thematic research reviews. These products are available for Bangladesh, The Gambia and Cambodia (programme independent evaluations), Bhutan (thematic research review), LoCAL Facility (mid-term global programme independent evaluation).

1.5. Implementation status

As LoCAL entered its second phase of global expansion (2019-2022), LoCAL moved forward with a series of actions at the global level and across more than 20 countries aimed at realizing the vision set by LoCAL Board members for LoCAL to 'become a standard and recognized country-based mechanism for developing countries in particular the LDCs, that supports direct access to the Green Climate Fund and other climate finance entities and mechanisms to transfer resources to local governments through national systems for building verifiable climate change adaptation and resilience.'

Since 2014, LoCAL expanded across Asia and was launched in Africa and in the Pacific; as of December 2020, the mechanism was deployed in 14 countries across the three continents, currently working with 304 local governments that collectively reach a combined population of over 11.5 million. This represents an almost 11-fold increase over 2014, when LoCAL was active in only 29 local governments in seven countries. As of end of 2020, another 13 countries submitted official requests to deploy LoCAL and are undergoing scoping and/or design exercises.

³ Please see ACCAF in Annex – or see link to Assessing the Effectiveness of Climate Resilience Grants to Local Governments in Least Developed Countries - <https://files.wri.org/d8/s3fs-public/assessing-effectiveness-climate-resilience-grants-to-local-governments-least-developed-countries.pdf>

As of 2020 and since its inception, LoCAL has mobilized a total of \$99.07 million in domestic and international funding, out of which \$26 million (or approx. 26%) in parallel funding. The Facility has delivered since 2014 \$42.14 million through PBCRG, capacity building and TA, as well as operational support. LoCAL is also supporting national partners in unlocking further resources that will ensure results are maintained and developed after the end of the LoCAL funding period; this includes supporting countries' direct access to the GCF. Three National Implementing Entity (NIE) were supported in obtaining GCF accreditation and five others are undertaking the process with LoCAL assistance. Overall, as of December 2020, LoCAL is supporting regional and national AEs in Africa, Asia and Pacific to access GCF funding for a pipeline of approximately \$120 million.

Output 1 - Awareness and capacities

Under Output 1, national and local governments receive support from LoCAL to increase awareness and build capacities to assess, plan and effectively respond to climate change through appropriate adaptation actions. Capacity-building and institutional strengthening support covers all aspects encompassing effective local decision-making processes for risk-informed planning, budgeting and implementation of adaptation options that respond to locally identified needs. Sensitization of communities on climate change issues and risks encourages participatory approaches to resilience building and reinforces bottom-up responses for locally-led adaptation. This support has been designed to helping local governments to meet PBCRG's minimum access conditions and improve performance under the PBCRG system. In 2020, 252 local authorities or (87% of local governments actively using the PBCRG system) met the minimum conditions without need of corrective measures. In the same year, 1,563 national and local authorities' officials and community representatives have participated in awareness and capacity-building activities on climate change adaptation data usage, planning and budgeting, and investment management with support from LoCAL. Of these, 516 were women.

As science-based evidence of climate change risks is many times lacking, especially at the local level and in LDCs, and support to risk-informed planning and access to climate information remains a challenge, LoCAL has established technical partnerships which aim to design and develop tailor-made, country-based methodologies and systems to support the collection and analysis of climate data for local level decision-making. In 2020, 282 local governments that are engaged with LoCAL were reported to regularly collect, update and analyse climate change information. LoCAL is continuously working to improve the quality and effectiveness of this work.

Cumulative delivery for the second phase of LoCAL expansion (2019-2020) for Output 1 stands at \$3.6 million.

Output 2 - Mainstreaming and investments

Under Output 2, LoCAL provides technical and financial support for climate change adaptation mainstreaming into local development plans, aimed at enhancing sub-national programming of resources toward more resilient and sustainable development pathways and strategies. In 2020, 293 local governments have succeeded in integrating climate change considerations into their local planning and budgeting processes. In 2020, LoCAL financed 595 climate change adaptation interventions through PBCRG for a value of approximately \$11.25 million – including \$6.72 million in co-financing from either national and/or local governments' own resources or parallel programmes.

This brought the cumulative total of small-scale climate-resilient interventions financed by LoCAL since 2014 to 1,686.

LoCAL is by design a gender-sensitive and inclusive approach to climate change adaptation, as it brings the planning and budgeting process for climate change adaptation closer to the communities – and especially those who are disproportionately affected by climate change effects. While the specific criteria for the PBCRG system vary from one country to another, most designs include specific gender-sensitive performance measures to hold local governments accountable for the inclusiveness of their local decision-making processes. In 2020, roughly 9% of investments were reported to specifically target women, as women accounted for more than 2/3 of direct beneficiaries.

Cumulative delivery (2019-2020) for Output 2 stands at \$15.2 million, out of which \$10.5 million delivered as PBCRG.

Output 3 - Financing mechanism

Under Output 3, LoCAL provides technical and financial support to central and local governments to set up and progressively institutionalize the mechanism, including supporting countries in ensuring greater predictability and stability in funding sources for subnational adaptation through the PBCRG. To December 2020, 304 local governments were engaged with LoCAL, with the largest numbers in Bhutan, Bangladesh and Cambodia as these countries graduated to Phase II (Bangladesh) and Phase III (Cambodia and Bhutan). Of these local authorities, 289 or 95% have been deploying the PBCRG system over the past two years (2019 - 2020) - 100 in Bhutan; 72 in Bangladesh; 42 in Cambodia; 17 in Mozambique; 9 in Benin; 9 in Ghana, 20 in The Gambia, 4 in Lesotho, 4 in Mali, 9 in Niger, and 3 in Tuvalu⁴. Through the establishment and progressive institutionalization of the PBCRG mechanism.

LoCAL has also been testing approaches to unlock (domestic) private climate finance, matching the PBCRG system with other financing instruments that may contribute to investments in adaptation at the local level. In The Gambia, LoCAL identified climate resilient SME-sponsored projects that yield socioeconomic opportunities in the green economy and climate-sensitive sectors and supported them in de-risking their investments in order to access additional funding from commercial banks. Other efforts involve the partnership established with the African Development Bank to pilot and operationalize the Adaptation Benefits Mechanism (ABM) and the collaboration with BOAD for the co-development of a multi-country GCF funding proposal seeking to deploy innovative financing instruments to provide access to climate finance to a wide range of local actors, especially local governments, SMEs and cooperatives. Similarly, in Peru, LoCAL is supporting the design of a guarantee fund scheme that encourages the private sector to become involved in adaptation and mitigation measures in the country.

Cumulative delivery (2019-2020) for Output 3 stands at \$3.4 million.

Output 4 - Outreach, learning and quality assurance

The LoCAL Facility team, as mandated, plays a critical role in LoCAL's effective deployment across countries and regions, in raising awareness and mobilizing political support from ministries and

⁴ The number of local governments using the PBCRG is calculated based on Memorandum of Understanding signed with member LoCAL countries between 2019 and 2020 for the deployment of the PBCRG. Local governments included in this indicator were at different stages of deployment of their PBCRG cycles (planning, implementation or closure) as of December 2020. Local governments deploying the PBCRG through parallel resources are also retained.

institutions at the central government level, and in providing technical assistance to participating countries.

In terms of outreach, in 2020 several high-level initiatives were undertaken to raise awareness and advocate for the role of local governments in climate change adaptation at the local level, such as close engagement with the UNFCCC through the participation in the 37th and 38th LEG Meetings, participation in UNFCCC Adaptation Committee and the UNFCCC Standing Committee on Finance. LoCAL joined the DAC Network on Environment and Development Co-operation (ENVIRONET), and LoCAL participated in several dialogues, events and consultations, including UNFCCC 2020 Climate Dialogues, GCF-led consultations on enhancing direct access (EDA) guidelines, EU-UNCDF brainstorming session on budget support and performance based (climate resilience) grants, ICLEI-led LoCS4Africa Congress, amongst others. LoCAL experience was also featured in some key publications, including IIED's "Good climate finance guide: lessons for strengthening devolved climate finance" and OECD's "Strengthening Climate Resilience: Guidance for Governments and Development Co-operation".

Based on LoCAL Board decisions, UNCDF initiated the process for developing LoCAL into an international standard. ISO certification is intended to provide further recognition of LoCAL as an international tool for vertical integration and support for NAPs and NDCs, while ensuring consistency across the countries that are adopting the standard. Finally, LoCAL engaged in partnerships for learning and knowledge sharing, LoCAL completed several communication and knowledge management initiatives aimed at developing and sharing knowledge and experiences, both among its participants and to broader development / climate change communities. At the global level, LoCAL entered into a strategic partnership with the UN Institute for Training and Research to develop a course module/curriculum on LoCAL guidelines and the ACCAF. Building on an existing collaboration with the Korean Environment Institute, LoCAL has expanded its network of specialized experts and institutions for undertaking robust climate risk assessments in line with Intergovernmental Panel on Climate Change (IPCC) guidelines through climate downscaling modelling and climate risk mapping to support local decision-making on adaptation investments.

Cumulative delivery (2019-2020) for Output 4 stands at \$2.9 million.

More information can be found in the LoCAL 2020 Annual Report⁵. This section aims to give the reader a high-level overview of the some of the results achieved.

⁵ LoCAL Annual Report - <https://www.uncdf.org/article/6749/local-annual-report-2020-en>

2. Evaluation objectives and methodology

Evaluation during a crisis: COVID-19

Considering the COVID-19 pandemic and resultant restrictions, the proposed evaluation methodology may be subject to change. All work of the evaluation team during the field visit shall be done within the guidelines and protocols set by the local and national governments.

2.1. Purpose, scope and objectives of the evaluation

The final evaluation of UNCDF's Local Climate Adaptive Living Facility (LoCAL) is being conducted in accordance with UNCDF's Evaluation Plan 2018 – 2021, and in line with UNDP's Evaluation Policy (to which UNCDF is party) which sets out a number of guiding principles and key norms for evaluation in the organization following the *Norms and Standards* of the United Nations Evaluation Group.

Amongst the norms that the Policy seeks to uphold, the most important are that the evaluation exercise be conducted in an independent and impartial manner, and that it provide technically and methodologically credible findings that are useful and relevant to support evidence-based programme management and broader strategic decision making.

In support of this, the evaluation has been designed with the following overall objectives:

- allow UNCDF and its development partners to meet their accountability and learning objectives for this programme;
- support capacity development of UNCDF's partner LDC governments in the area of climate finance and climate adaptation
- ensure that the evaluation can support ongoing attempts by the programme and its funders to capture good practice and lessons to date in a sector which is evolving fast and is increasingly relevant to meeting the objectives of the Sustainable Development Goals;
- inform updating of UNCDF global strategies for Local development Finance within the framework of its new 2022 – 2025 Strategic Framework

The final evaluation is expected to assess the results of the intervention to date (direct and indirect, whether intended or not) across LoCAL's full theory of change in a sample of countries in which LoCAL has been active since 2014. The objective of the evaluation is to focus on the effectiveness, impact and sustainability of the programme to date; it will also revisit the question of relevance/appropriateness of design in comparison - if possible - with other approaches/programmes to unlocking climate finance at the sub-national level in the Least Developed Countries. The evaluation should also focus on the efficiency with which project resources have been deployed.

Critical to this evaluation is the assessment of the effectiveness, impact and sustainability of the LoCAL approach and instruments to promote climate change resilient communities and local economies in target countries. As part of this, an additional important objective for the evaluation is to assess the extent to which it is already possible to see changes in peoples' lives in the communities supported thanks to the LoCAL intervention, and also whether the programme is appropriately set up to capture and understand these changes.

The **specific objectives** of the evaluation are:

- To assist UNCDF and its partners understand the relevance, efficiency, effectiveness, and likely impact and sustainability of the programme in the different countries in which it is active, including LoCAL's approach to strengthening the policy and institutional environment for unlocking climate finance at the national level and on capacities at the local level;
- To provide evaluative evidence on the contribution of LoCAL's work in partner countries to increase access by local governments to (international) climate finance and to establish and institutionalize an internationally recognized and country-based financing mechanism for subnational and locally led adaptation;
- In doing so, to consider variation in LoCAL's performance at all levels of its results chain taking into account differences in implementation modalities across phases and across countries;
- To situate the programme in its broader development cooperation environment and climate finance architecture, compared to similar approaches and initiatives that promote subnational climate finance for local adaptation action, especially in the LDCs;
- To understand better how LoCAL is working with other UNCDF programmes as well as with global, regional and national partners in achieving its objectives;
- To consider the appropriateness to date of UNCDF's positioning as a UN agency in supporting access by LDCs and other developing countries to (international) climate finance for subnational and locally led adaptation.

2.2. Recommendations

To support the utility of the evaluation, while in no way restricting the scope of the conclusions that the evaluators may come to, UNCDF is looking for lessons and recommendations along the following lines:

Overall recommendations sought, taking a short, medium and long-term view:

- Help position UNCDF and LoCAL with a broad range of partners;
- Help position LoCAL in the global climate finance architecture;
- Draw lessons to inform UNCDF/LoCAL's theory of change in relevant areas of its mandate;
- Draw lessons from the use of the LoCAL mechanism in shaping a more conducive environment at the global and country level for subnational adaptation finance and locally led adaptation;
- Inform UNCDF future programming.

Specific recommendations sought:

- How can LoCAL balance the increased demand from countries and exponential growth in local governments in countries transitioning between phases and increase in both human and financial resources, funding for grant investments as well as quality assurance and technical assistance support to ensure LoCAL standards are maintained and institutionalized?
- How can LoCAL further support the lack or low capacities in both national and subnational partner institutions on the production, analysis and use of climate information for risk-informed planning, budgeting, execution and monitoring of adaptation interventions?

- To what extent does the broader international and national policy environment (Paris Agreement, NDCs, NAPs) remain conducive to the replication of the lessons learnt from the programme and its scale up (in country and globally)?
- How can LoCAL be better embedded in the international climate finance architecture? How can LoCAL be further positioned as an internationally recognized, country-based standard for financing subnational and locally led adaptation, especially in the LDCs, in line with the LoCAL Board Decision and the recent Ministerial Declaration? What are possible options / recommendations to ensure greater predictability and stability of LoCAL funding sources for its progressive scale up?
- What lessons around UNCDF and programme’s management arrangement should be considered for future work? What lessons can be drawn around the appropriateness of the monitoring and reporting tools of the programme, especially to capture changes in the lives of beneficiaries at the community level?

2.3. Evaluation methodology

The evaluation should be **transparent, inclusive, participatory and utilization-focused**. The overall methodology should be implemented following a theory of change approach, framed by the UN/OECD DAC evaluation criteria⁶ drawing upon mixed methods (quantitative and qualitative) data to capture changes in the allocation and use of public finance at the local level to support increased resilience of local economies and communities through locally-led adaptation, increased subnational adaptation finance and better local climate governance.

The evaluation process should be participatory, engaging Government senior officials, implementing and development partners, project staff, key stakeholders and a wide cross-section of staff and beneficiaries while ensuring inclusion of elements of gender equality.

To do so, the methodology should draw, where appropriate, on established measurement frameworks for capturing these kinds of development/adaptation outcomes, including the Principles for Locally Led Adaptation, as guidance to the adaptation community towards climate action that is increasingly owned by local actors, and GCF’s Results Framework, in terms of demonstrable impacts of investments and contributions to a paradigm shift towards low-emission and climate-resilient development pathways.

The approach to the evaluation should also intend to capture progress against UNCDF’s ‘innovation-to-scale’ or maturity model approach whereby UNCDF supported interventions aim to start with piloting/innovation, then move to consolidation before being scaled up with/by others in markets and country policy systems more broadly.

In line with good practice in evaluating this type of complex system change-focused intervention, the evaluation methodology should be organized around three concrete pillars:

- the programme’s **theory of change** -and the way this has been operationalised into a set of concrete expected results at different levels of the LoCAL results chain across the

⁶ Revised evaluation Criteria – OECD. Available at <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

countries in which LoCAL is operational

- an **evaluation matrix** -grouping key evaluation questions and sub-questions by broad UN /OECD DAC evaluation criterion allowing analysis of programme results again at different levels of the LoCAL results chain;
- a **data collection toolkit**; for the evaluation describing the quantitative and qualitative primary and secondary data collection tools that will be deployed to collect and analyse data to answer the evaluation questions, including impact questions around current or likely changes to the people's lives at the level of the beneficiary communities.

2.3.1. Theory of change

The main analytical framework for the evaluation is provided by the programme's theory of change which helps organize the evaluation questions according to the programme's expected results at each level of its results chain.

In doing so, the evaluation should use a broad Contribution Analysis (CA) approach to causal inference⁷ with a view to understanding the influence of relevant contextual factors, and alternative and additional drivers or obstacles to change at the regional, national and local levels that may have influenced the programme's direct and indirect, intended and unintended results including, importantly, at the level of communities and individuals.

The evaluation should also seek to apply additional evaluation techniques that can further strengthen the plausibility of links between the results of LoCAL's different strands of work on various intended programme outcomes at the policy, community and individual beneficiary levels as well as tell the story of how and why change has or has not happened as a result of the LoCAL intervention. These techniques could include, for example, case studies, process tracing, and techniques linked to participatory evaluation.⁸

In line with UN evaluation practice, the scope of the evaluation should cover all six standard UN/OECD DAC evaluation criteria: relevance/appropriateness of design, coherence, efficiency, effectiveness, and (likelihood of) impact and sustainability. In doing so, the focus of the evaluation goes beyond assessing whether UNCDF and its partners are currently 'doing things right' in programme execution and management, to a broader assessment of whether, given available evidence, and in comparison with similar approaches implemented by others, the programme looks to be the 'right approach' to achieving the higher-level objectives agreed in the initial phase.

2.3.2. Evaluation Matrix

⁷ For more information, please see: http://www.betterevaluation.org/en/plan/approach/contribution_analysis

⁸ For more information, please see publications on evaluation methods by the Independent Evaluation Group of the World Bank as well as the United Nations Evaluation Group: <http://www.unevaluation.org/document/detail/2939>, <https://ieg.worldbankgroup.org/evaluation-international-development> as well as Befani and Mayne (2014) "Process Tracing and Contribution Analysis: A Combined Approach to Generative Causal Inference for Impact Evaluation". <https://onlinelibrary.wiley.com/doi/abs/10.1111/1759-5436.12110>

In proposing how to conduct the evaluation, the evaluators should use the below suggested evaluation matrix to operationalize the theory of change and its agreed framework of direct and indirect results into a set of measurable categories of evaluative analysis following the results chain of the intervention. The table below presents a set of preliminary questions that should help interested companies frame their proposed evaluation design. A final, more detailed evaluation matrix should be developed during the inception phase on the basis of extensive document review and initial consultation with key programme stakeholders.

Evaluation criteria and main questions	Evaluation sub-questions
<p>Question 1. Relevance</p> <p>The extent to which LoCAL’s objectives and design respond to beneficiaries’, global, country and partner/institution needs, policies, and priorities⁹, and continue to do so if circumstances change.¹⁰</p>	<p>1.1 How relevant and how well designed is the LoCAL approach and instruments to the priorities of the countries and key stakeholders in which it has intervened, considering the programme’s intended support to promote climate change resilient communities and local economies by increasing investments in locally led adaptation.</p> <p>1.2 How relevant/well designed is the support provided by LoCAL, in each of the phases of the LoCAL intervention (Design, Phase I – Piloting, Phase II – Consolidating, Phase III – Scaling-up) to increase Local Governments’ access to climate finance and to establish and institutionalize LoCAL’s Performance Based Climate Resilient Grants (PBCRGs)?</p> <p>1.3 How well are programme objectives supported by the LDCs (partner countries and not) at the global, national and local level as well as by the international development/climate finance community?</p> <p>1.4 To what extent does the LoCAL design incorporate gender equality (GE), human rights (HR) and other crosscutting issues? Are needs and interests of all stakeholder groups taken into account? Is the design informed by good quality information on the underlying causes of inequality and discrimination?¹¹</p>
<p>Question 2. Coherence</p> <p>The extent to which LoCAL is compatible and/or complementary with other interventions in a</p>	<p>2.1 As presently designed, how coherent is programme design in view of its objectives i) at the local and national levels in partner countries and ii) internationally as a global initiative? To what extent does the programme support later expansion and replication in line with UNCDF’s maturity model?</p> <p>2.2 How distinct/complementary is LoCAL to the international climate finance architecture, as well as other initiatives implemented by governments and/or key development partners?</p> <p>2.3 How well does LoCAL align with the national structures and strategies (NDP, NDCs, NAPs, SDGs, etc.) in partner countries? What is the added value and what are the synergies of LoCAL?</p>

⁹ This includes the SDGs and SDG related indicators

¹⁰ ‘Respond to’ means that the objectives and design of the intervention are sensitive to the economic, environmental, equity, social, political economy and capacity conditions in which it takes place.

¹¹ This includes, but is not limited to, the extent to which the programme is formulated according to international norms and agreements on HR & GE (e.g. The Convention on the Elimination of all Forms of Discrimination Against Women – CEDAW; the Universal Declaration of Human Rights – UDHR; Convention on the Rights of Persons with Disabilities – CRPD) as well as national policies and strategies to advance HR & GE

country, sector or institution. ¹²	
<p>Question 3: Efficiency</p> <p>Extent to which LoCAL has / or is likely to deliver results in an economic and timely way? Extent to which the programme has delivered quality outputs that are appropriately managed and overseen.</p>	<p>3.1 How well has LoCAL delivered its expected results to date, including in terms of budget allocation and cost-effectiveness of activities? How well are the key implementation partnerships functioning (between LoCAL and partners, between LoCAL and national/local authorities)?</p> <p>3.2 What is the quality of outputs (deliverables) provided? How appropriate is the programme’s monitoring system to track direct programme results and its broader contribution to the overall objectives?</p> <p>3.3 How well is the programme being managed and governed, through the involvement and contribution of key partners such as the key donors and government counterparts, both at global, national and subnational levels?</p> <p>3.4 How well are resources (financial, time, people) allocated to integrate Human Rights (HR) & Gender Equality (GE) and other crosscutting issues, in the implementation of LoCAL, and to what extent are HR & GE a priority in the overall intervention budget? To what extent are such resources being used efficiently?</p>
<p>Question 4: Effectiveness</p> <p>The extent to which LoCAL is expected to achieve its objectives, and its results, including any differential results across groups?</p>	<p>4.1. To what extent are LoCAL activities under Output 1 contributing to increase awareness and capacities to respond to climate change adaptation at the local level.</p> <p>4.2. To what extent are LoCAL activities under Output 2 contributing to mainstream climate change adaptation into local government planning and budgeting systems, including the extent to which investments are implemented in line with the LoCAL standard?</p> <p>4.3. To what extent are LoCAL activities under Output 3 contributing to an increased amount of climate change adaptation finance available to the participating local governments and communities through the PBCRG system?</p> <p>4.4. To what extent are LoCAL activities under Output 4 contributing to an increased recognition at the international level of the role of local authorities and of the PBCRGs in addressing climate change impacts at the local level?</p>

¹² The extent to which other interventions (particularly policies) support or undermine the intervention and vice versa. This includes internal coherence which should address the synergies the interlinkages between the intervention and other interventions carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres. External coherence considers the consistency of the intervention with other actors’ interventions in the same context, including complementarity, harmonization and coordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort.

<p>Question 5: Likely Impact</p> <p>The extent to which LoCAL has generated or is expected to generate climate change-resilient communities and local economies by increasing investments in climate change adaptation at the local level in target countries, thereby contributing to the achievement of the Paris Agreement and the SDGs.</p>	<p>5.1. As currently designed and implemented, to what extent are LoCAL results under Outcome 1 likely to contribute to increase local government access to (international) climate finance for locally led adaptation in target countries?</p> <p>5.2. As currently designed and implemented, to what extent are LoCAL results under Outcome 2 likely to contribute to the establishment of a standard and internationally recognized country-based mechanism to channel climate finance and increase local resilience?</p> <p>5.3. As currently designed and implemented, to what extent are LoCAL results under Outcome 1 and 2 likely to contribute to the promotion of climate change-resilient communities and local economies by increasing investments in climate change adaptation at the local level in target countries, thereby contributing to the achievement of the Paris Agreement and the SDGs?</p>
<p>Question 6: Sustainability</p> <p>The extent to which the net benefits of LoCAL are likely to continue beyond the life of the intervention?¹³</p>	<p>6.1. To what extent are any changes in resilience of local economies and communities through increased investments in climate change adaptation at the local level sustainable over time?</p> <p>6.2. To what extent are any changes in increased local government access to (international) climate finance through the programme sustainable over time?</p> <p>6.3. To what extent are changes at the policy and institutional level, globally, nationally and locally, induced by LoCAL likely to continue over time?</p>

2.3.3. Data collection toolkit

Finally, on the basis of the questions included above and the information present elsewhere in this Terms of Reference and on the UNCDF website, the evaluation team should deploy a data collection toolkit (that includes gender disaggregation and triangulation tools) that will include both existing secondary data as well as new primary data to be gathered during the country visit which together will be able to answer the questions listed above in the matrix organized by different levels of the results chain.

¹³ Note that this should include as far as possible an examination of the financial, economic, social, environmental and institutional capacities of the systems needed to sustain net benefits over time, including analyses of resilience, risks and potential trade-offs.

Evaluation during a crisis: COVID-19

The proposal should outline any adjusted evaluative approaches/ methodologies that may be needed to implement the evaluation effectively, including extended desk reviews, primary use of national consultants and virtual stakeholder meetings and interviews. This will be further detailed in the inception report.

If all or part of the evaluation is to be carried out virtually then remote interviews may be undertaken through telephone or online (skype, zoom etc.). Consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely.

International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNCDF staff should be put in harm's way and safety is the key priority.

The combination of primary and secondary tools or separate 'lines of evidence' should number at least five and be designed – as with the rest of the evaluation - with triangulation and complementary assessment of the sub-questions in the matrix in mind. Suggested lines of evidence include:

- Document and literature review;
- Analysis of deliverables and financial reports;
- Structured, semi-structured and/or in-depth interviews;
- Quantitative surveys;
- Direct observations;
- Focus groups, including implementing partners and community-level partners
- Case studies of different type of investments supported and technical assistance provided¹⁴

In proposing the evaluation methodology, bidders are requested to respect the various quality standards for UNCDF evaluation set out in Annex.

Finally, as part of the data collection tools, bidders are encouraged to use the Truepic¹⁵ platform and application, with whom UNCDF has a Memorandum of Understanding. Truepic is a photo and video verification platform, that bidders will be asked to use as part of their field visit and approach to data collection¹⁶.

2.3.4. Country visits and sampling

To ensure representativeness of the evaluation findings across LoCAL portfolio of countries, and also to account appropriately for the role of context (policy, institutional, climate) in the results of the programme, the evaluation team will be asked during the inception phase of the evaluation to propose visits of two consultants of at least seven working days to four countries in which LoCAL is active.

¹⁴ The choice of case studies should be finalized during the inception phase and support the broader evaluation approach and sampling strategy.

¹⁵ <https://truepic.com/>

¹⁶ More information, on how bidders will use this technology will be determined together with the Evaluation Unit and Programme Team during the inception phase.

The choice of countries to be visited should respect the following broad sampling criteria:

- i) One from each of the four geographical regions in which LoCAL is active: Asia Landlocked; East Africa Coastal; West Africa Landlocked; Pacific Small Island Developing States
- ii) At least one from each of the three phases of the LoCAL: I, II and III
- iii) If possible, at least one country to be the same as one of the countries visited in the Mid-Term Evaluation of LoCAL (Cambodia, Bhutan and Niger).

In the write up phase of the exercises, the evaluation team is expected to write up short (8 - 10 page) country reports, briefly describing the main characteristics of the climate finance systems, as well as LoCAL's performance to date, in each of the countries visited, drawing on the results of the different lines of evidence that the team will have deployed throughout the evaluation.

2.3.5. Human rights and gender equality

The evaluation must include an assessment of the extent to which the design, implementation, and results of the project have incorporated a gender equality perspective and rights-based approach. The evaluators are requested to review UNEG's Guidance in Integrating Human Rights and Gender Equality in Evaluation during the inception phase as well as the UN Disability Inclusion Strategy.

In addition, the methodology used, data collection and analysis methods should be human rights and gender-sensitive to the greatest extent possible, with evaluation data and findings disaggregated. Evaluators should also review the most recent publications by the United Nations on the seven drivers of women's economic empowerment in the context of the SDG focus on leaving no one behind.

The promotion and protection of Human Rights (HR) & Gender Equality (GE) are central principles to the mandate of the UN, and all UN agencies must work to fundamentally enhance and contribute to their realization by addressing underlying causes of human rights violations, including discrimination against women and girls, and utilizing processes that are in line with and support these principles. Those UN interventions that do not consider these principles risk reinforcing patterns of discrimination and exclusion or leaving them unchanged. It is therefore important that evaluations commissioned by UNCDF take these aspects into account.

The 2019 United Nations Disability Inclusion Strategy provides the foundation for sustainable and transformative progress on disability inclusion through all pillars of the work of the United Nations: peace and security, human rights, and development. The Strategy enables the UN system to support the implementation of the Convention on the Rights of Persons with Disabilities and other international human rights instruments, as well as the achievement of the Sustainable Development Goals, the Agenda for Humanity and the Sendai Framework for Disaster Risk Reduction.

UNCDF takes seriously its commitments to GE and women's empowerment throughout its programme cycle, including evaluation. In the latest independent review of the quality of UNCDF evaluation reports under the UN's System-Wide Action Plan, overseen by UNEG, its Evaluation Unit was scored as "exceeding requirements" and the Unit is committed to guarantee that all the evaluations it designs and manages meet the UNEG GE-related norms and standards and apply the UNEG guidance during all phases of the evaluations.

3. Management roles and responsibilities

To ensure independence and fulfilment of UN evaluation standards, the Evaluation Unit of UNCDF in New York is responsible for the design and management of this evaluation and will hire an independent firm (Evaluation Team) to conduct the evaluation.

UNCDF Evaluation Unit: In line with the organisational setup for evaluation at UNCDF, the Evaluation Unit in New York – reporting directly to the Executive Secretary of UNCDF as per UNEG norms on organisational independence of evaluation entities - is responsible for the design and management of this evaluation and for the overall quality of the evaluation report¹⁷.

Evaluation Team: An independent firm will be hired by the Evaluation Unit to conduct the evaluation. The Evaluation Team should work closely working with the LoCAL team. The team will be responsible for arranging all meetings and field visits, with support from the LoCAL team and the Evaluation Unit. The Evaluation Team is expected to organize its own travel, visas, accommodation and local transport. The Evaluation Unit will provide substantive support, including joining the Evaluation Team in the field visit and supporting the implementation of remote/virtual data collection.

The Evaluation Team is also responsible for respecting the ethical foundations for evaluation within the United Nations, including the safeguarding the rights and confidentiality of information providers, for example, and taking measures to ensure compliance with legal codes governing areas such as provisions to collect and report data¹⁸. More information will be provided at the start of the inception phase.

LoCAL team: The programme staff will provide administrative and logistical support. This will include: timely access to an extensive range of documentation for the desk review; an updated stakeholder list with contact details, including emails, telephone numbers and preferred method of access (if possible); and assistance in scheduling meetings in the country. The programme staff will also be available for initial briefing and final debriefing and shall make itself available to answer questions and provide documents. The programme staff may provide office space in the country for the evaluation team to work upon request.

Advisory Panel: Following UNDP Evaluation Guidelines, an Advisory Panel overseeing the evaluation process will be formed as necessary to include representatives from UNCDF, national counterparts, and potentially development partners. It will be the Panel's role to accompany the evaluation throughout, providing inputs at key stages with a view to building ownership of the evaluation findings. The Panel's responsibilities will include reviewing and commenting on the inception report as well as on the draft report, being available for interviews with the evaluation team, as well as performing advisory role throughout the evaluation process.

¹⁷ The final evaluation report will be assessed externally by UNDP's Independent Evaluation Office (IEO) once the evaluation has been completed. The quality assessment grid, against which the report is assessed, is available at <http://web.undp.org/evaluation/guideline/documents/PDF/section-6.pdf>

¹⁸ The Evaluation Team will be bound by the UNEG Norms and Standards in Evaluation in the UN System, the UNEG Code of Conduct for Evaluation in the UN System, the UNEG Ethical Guidelines for Evaluation, and the UNEG Guidance for Integrating Human Rights and Gender Equality in Evaluation.

4. Audience and timing

The primary audience for this evaluation is UNCDF, the funders of the LoCAL as well as LoCAL's partners in its partner countries. The evaluation will also be presented to the LoCAL Board to update them on the progress of the programme against overall objectives, and based on the findings, have member inputs into next steps of LoCAL.

The evaluation will also be used to collaborate with the UNFCCC constituting bodies and financial mechanisms to improve the streamlining of LoCAL's programming in achieving Paris Agreement and SGD's specific objectives.

Evaluation during a crisis: COVID-19

Considering the COVID-19 pandemic and resultant restrictions, the proposed evaluation schedule may be subject to change. All work of the evaluation team during the field visit shall be done within the guidelines and protocols set by the local and national government.

The evaluation will have three distinct phases:

Phase 1 - Inception

- Kick-off meeting between the evaluation team and the Evaluation Unit to ensure clear understanding of the evaluation methodology, approach and main deliverables as per TOR;
- Adjustments to any evaluative approaches/methodologies that may be needed to implement the evaluation effectively in response to the COVID-19 restrictions, including safety guidance, extended desk reviews, primary use of national consultants and virtual stakeholder meetings and interviews;
- Kick-off meetings with Advisory Panel, the LoCAL team, as well as the senior management of UNCDF, to familiarize the Evaluation Team with the programme objectives, results to date and expectations for this evaluation;
- Provision of all relevant documents;
- Stakeholder mapping and selection;
- Finalization of the evaluation methodology and tools, including the sampling strategy, the data collection strategy, and the detailed evaluation matrix
- Finalization of data collection tools (questionnaire, checklist, guidelines). The Evaluation team will be responsible for pre-test and finalization of tools and techniques for the survey.
- Finalization of the schedule for field visit;
- Interviews by the team with national stakeholders such as key ministries and donors; initial consultations in the country with LoCAL team, UNCDF CO office teams and partner organizations.

Phase 2 - Field visit

- Considering the COVID-19 pandemic and resultant restrictions, the schedule and length of field visit may be subject to change and will follow guidelines and protocols set by the local

and national governments. No stakeholders, consultants or UNCDF staff should be put in harm's way and safety is the key priority.

- Primary data collection, including site visits, focus groups discussions, and key informant interviews
- Security briefing with UNCDF country office
- Debriefing sessions with the key in-country stakeholders will be organized to present emerging trends/ preliminary findings and to build ownership of the findings with programme counterparts
- The Team Leader may be asked to debrief the Advisory Panel and Evaluation Unit at the end of the field visit. This with a view to provide a sense of the evaluation team's preliminary findings ahead of the draft reporting phase.
- The evaluators are also expected to conduct interviews with key informants from HQ.

Phase 3 – Reporting

- Analysis and synthesis, including a technical debrief with LoCAL staff on initial findings and final questions
- Drafting of the evaluation report
- HQ debrief of the final evaluation report to UNCDF senior management

In total, it is expected that the evaluation will take no more than a maximum of 150 person days to complete across the 3 phases of the evaluation. This should include time to complete: i) a thorough review of all relevant programme documentation during the inception phase and preparation of the methodological approach to be followed; ii) COVID permitting, a visit to key programme sites including interviews with key country-based stakeholders, and iii) a thorough write up of the evaluation report, to include analysis and transparent aggregation of the different 'lines of evidence' collected during the preceding evaluation phases into investment and TA case studies and then a final evaluation report with relevant annexes.

The methodology – including the final sampling strategy - should be further developed by the evaluation team during the inception phase under the supervision of the Evaluation Unit. The below proposed timeframe and expected deliverables will be discussed with the evaluation team and refined during the inception phase. The final schedule of deliverables should be presented in the inception report.

The Evaluation Unit reserves the right to request revisions to the evaluation deliverables until they meet the quality standards set by the UNCDF's Evaluation Unit for evaluation reports (please see Annex for more details).

The Evaluation Team Leader is responsible for preparing and submitting the following deliverables:

Phase	Deliverable	Tentative timeframe
Phase 1: Inception	An inception report presenting a full description of programme implementation to date as well as the final evaluation matrix, methodology, data collection toolkit and detailed work plan with timeline following a template to be provided by the Evaluation Unit.	Q4 2021 Approximately 4 – 6 weeks.

	The report must also detail any adjusted evaluative approaches/methodologies that may be needed to implement the evaluation effectively due to COVID-19.	
Phase 2: Field visit and other data collection	-	Q4 2021 – Q1 2022 Approximately 8 – 10 weeks
Phase 3: Reporting	<ul style="list-style-type: none"> • A Draft Evaluation Report¹⁹ organized by evaluation sub-question, presenting evaluation findings and recommendations for the LoCAL programme, aggregated and synthesized on the basis of the results of the different data collection and analysis tools (35-45 pages). • Annexes with summary of findings from each of the ‘lines of evidence’ used to support the evaluation findings²⁰ • An Executive Summary of maximum 5 pages summarizing the main findings and recommendations in English and French • 4 Country Reports following the template provided • A PPT slideshow for HQ debriefing (20 minutes’ presentation) summarizing the main findings and recommendations. • A Final Evaluation Report that incorporates comments received from all partners and a matrix of recommendations to be used for the Management Response and action, with recommendations for the next phase of the programme. • If all or part of the evaluation was carried out virtually as a result of COVID-19, the report should reflect such limitations. 	Q2 2022 Approx. 6 – 8 weeks

5. Composition of Evaluation Team

¹⁹ Including up to three rounds of revisions.

²⁰ All completed tools and datasets making up the different lines of evidence should be made available to the Evaluation Unit upon request (including field notes, transcribed highlights from interviews and focus group discussions, details from quantitative analysis). Bidders are requested to make sure that the Evaluation Team is ready to provide this information upon request.

The evaluation team should present a **combination of evaluation and thematic expertise/experience** with a focus on climate change adaptation (CCA) and decentralisation/public finance management experience at both national and local levels.

It is requested that the proposed evaluation team be made up of the following roles:

- 1 Team Leader with at least 10 years of relevant evaluation and thematic expertise/experience
- 3 - 5 Team member(s) with at least 10 – 15 years of relevant evaluation and thematic expertise/experience
- national expert(s) / field investigator(s) from the regions listed above under 2.1. The evaluation team should strive for gender balance in its composition and should demonstrate experience in implementing evaluations remotely.

5.1. Evaluation expertise/experience

Overall, the team should demonstrate:

- Proven experience (at least 10 years for the team leader) with designing and conducting international development evaluations that apply relevant mixed-methods evaluation approaches to a variety of different modalities in international development cooperation, involving inter-governmental organisations and their government and private sector counterparts and meet relevant international standards
- Familiarity with theory-based approaches to programme evaluation, using both quantitative and qualitative analysis of existing secondary data and primary data sources and methods such as contribution analysis, process tracing and most significant change;
- Knowledge and experience of working with or for the UN system is highly preferred.
- Proven experience in quantitative and qualitative data collection and analysis;
- Experience in conducting and supporting Key Informant Interviews, surveys and Focus Group Discussions;
- Experience in implementing evaluations remotely, including familiarity with virtual and remote data collection techniques;
- Demonstrated experience in integrating human rights and gender equality in evaluation, including proven ability to collect, present, analyse and aggregate data in conformity with relevant United Nations Evaluation Group gender norms;
- Evidence of formal evaluation and research training, including familiarity with OECD or UN norms and standards for development evaluation.

5.2. Thematic expertise/experience

Overall, the team should demonstrate:

- Technical knowledge of and engagement with sub-national government and with the practice of local economic development. Examples include intergovernmental fiscal transfer systems,

local government revenue systems, public financial management (PFM), infrastructure finance and investment at the sub-national level and the principles of local economic developments such as clustering, externalities, linkages and public promotion of economic activity with specific social impacts

- Experience in the fields of climate change adaptation (CCA) with a specific emphasis on local climate governance, adaptation and development planning, climate finance, and climate change mainstreaming
- Experience with working with vulnerable communities and households
- Experience in capacity development, institutional strengthening, and policy and regulatory work involving decentralization in developing countries
- Experience with performance-based grants and similar tools like budget support, ideally for climate change adaptation
- Experience in participatory budgeting for environment, climate change, natural resources
- Experience with decentralized cooperation involving non-state actors such as civil society organizations and private sector bodies
- Experience with measuring performance of public financial management systems at the local level, including investments focused on increasing climate resilience at the local level

6. Selection process and proposal requirements

This is one of the first evaluations to be procured using UNCDF's new Long-term Agreement (LTA) with qualified evaluation firms. Interested bidders should submit a proposal that meets the requirements below.

Evaluation during a crisis: COVID-19

Given the potential restrictions for travel to and/or within the country due to COVID-19, the proposal should highlight a methodology and a workplan that take into account the different possible scenarios for the conduct of the evaluation, including the use of virtual and remote interview methods, extended desk reviews, data analysis, surveys and evaluation questionnaires.

Consistent with the principles of fairness, transparency and best value for money prescribed by the United Nations public procurement rules, UNCDF shall "call-off" the services of the LTA holders based on a process of secondary competition. Under the secondary competition, UNCDF will solicit proposals from the LTA holders, and the firm that presents the proposal that achieves the highest

combined score will be awarded the call-off in the form of a Purchase Order (PO). The TOR for the call-off shall be attached to the PO.

During the secondary competition, UNCDF will send the TORs to LTA holders and provide a fixed period (two weeks maximum) to submit a technical and financial proposal. The technical proposal should include a proposed methodology for the evaluation - not more than 10 pages - as well as the names, CVs and roles of the evaluation experts proposed to conduct the evaluation. The LTA holder shall endeavor to draw from the pre-approved experts under the LTA, and that such experts shall comprise all or a majority of teams that will engage under any call-off.

UNCDF shall perform a comparative analysis and evaluate the proposals received using the 70:30 method, with 70% of scores going to the technical proposal and 30% to the financial offer. The LTA holder who achieves the highest combined score shall receive the call-off PO and perform the assignment. The comparative analysis of the technical proposal will focus on the appropriateness of the proposed methodology and team to the evaluation terms of reference. Methodological innovation will be considered an asset.

The technical proposal shall consist of:

- A focused proposed methodology, approach and implementation plan (maximum 10 pages);
- Presentation of the proposed evaluation team, drawn from the pre-approved list of experts in the LTA. For team members sourced outside of the pre-approved list, a complete CV and justification for not sourcing from the pre-approved list shall be provided;
- As part of the technical assessment, an interview will be conducted for all proposed team members.

1. Proposed Methodology, Approach and Implementation Plan

Points obtainable

1.1	Appropriateness of evaluation design to the programme being assessed. This includes but is not limited to:	200
	<ul style="list-style-type: none"> • Appropriateness of the overall methodological approach to the evaluation and variety of evaluation methods and techniques/lines of evidence being proposed to answer the evaluation questions, bearing in mind the complex nature of the policy and market systems that UNCDF is seeking to influence and the presence of likely alternative drivers of these changes • For the LoCAL programme, the design should include a relevant approach to assessing the functioning of improved fiscal transfer systems from the international to national and local levels; changes in the performance of local authorities in overseeing investment design, procurement and management with climate adaptation in mind; as well as the performance of any contracts that local governments take up with private sector entities to deliver services at the local level. • Quality and appropriateness of the proposed evaluation matrix including proposed judgement criteria/performance indicators and how the lines of evidence will be deployed to answer the evaluation questions at different levels of the theory of change (at the level of programme execution; at 	

	<p>the level of key organisational partners – including MSMEs - that the programme is working with; at the system level; and, if requested in the Terms of Reference, at the programme beneficiary level)</p> <ul style="list-style-type: none"> • Quality of the data collection strategy to be applied in answering the evaluation questions, including details of the qualitative and quantitative tools that will be used in assessing existing secondary data and generating new primary data to answer the evaluation questions. • Appropriateness of the proposed data analysis strategy, including plans to transform the analysis and aggregation of data into evaluation findings • Appropriateness of the proposed approach to case study analysis that can compare and contrast the results of the different programme instruments being deployed in support of the variety of partners across the portfolio. 	
1.2	<ul style="list-style-type: none"> • Extent to which the proposal highlights how the evaluation will apply a gender responsive lens at different stages of the evaluation cycle (inception, data collection, draft and final reports) with a view to generating findings that take into account the perspective of women, rural, and un(der)banked population segments, as well as make use of UNCDF's Gender Economic Empowerment Framework 	75
1.3	<ul style="list-style-type: none"> • A detailed evaluation work plan for conducting the evaluation, showing the overall time commitment for the evaluation, as well as specific activities and time allocated to each individual team member. 	75
<i>Total Section 1</i>		350

2. Management Structure and Key Personnel

**Points
obtainable**

2.1	Responsiveness of the proposed evaluation team to the team composition set out in the Terms of Reference.	350
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<p>In the event that the LTA holder wants to propose the engagement of experts that are not in the pre-approved list of experts in the LTA, the LTA holder shall : (a) submit a complete CV that UNCDF will review; and (b) paying attention to the specific expert profiles being sought in the evaluation ToR, provide a justification as to why an expert outside of the pre-approved list is being proposed. Both documents shall be reviewed by UNCDF and shall be considered in the determination of rating of the Technical Proposal.</p> <p>The assessment of not pre-approved experts will be based on scoring grid set-out in the LTA on a pass or fail basis, as well as the responsiveness to the team composition set out in the Terms of Reference (see above). For reference, the scoring grid set-out in the Terms of Reference to the RfP sets out a series of expected attributes for each of the following categories of expert:</p> <ul style="list-style-type: none"> • Project Directors and Team Leaders experienced in managing and conducting international development evaluation in relevant areas to UNCDF; • Technical experts with deep knowledge and expertise of UNCDF’s Areas of Work (either Local Development Finance OR Inclusive Finance experts AND MSME Investment Finance experts) in the countries in which we work as well as relevant evaluation experience; • Knowledge and experience of experts of gender-responsive evaluation; • Knowledge and experience of evaluation methodology; • Junior evaluation experts (enumerators, survey designers etc) <p>In case where the non pre-approved proposed experts do not meet the requirements as set-out both in the LTA scoring grid and call-off terms of reference, UNCDF reserves the right to request submission of CVs that meet the both those sets of criteria</p>	
<i>Total Section 2</i>	350

Only firms totaling > 490 points out of 700 points during the first step of the technical evaluation will be invited to the interview.

3. Interview

Points obtainable

3.1	Clarity of presentation on the proposed methodology and evidence of clear division of labour within the team	150
3.2	Quality of responses to the questions	150
<i>Total Section 3</i>		300

7. Impartiality requirements

We take the opportunity here to remind potential bidders that in line with UN norms and standards for evaluation, the ability of the evaluation team to conduct an independent and impartial evaluation of the intervention being assessed is a pre-requisite. With this in mind, interested firms should ensure specifically that members of the evaluation team that are proposed have not had any previous experience of working with or supporting the programme being evaluated or have any plans to do so for the duration of the programme being implemented.

8. Price and schedule of payments

Evaluation during a crisis: COVID-19

In line with the UNDP's financial regulations, when determined by the UNCDF Evaluation Unit and/or the evaluation team that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the evaluation, that deliverable or service will not be paid.

Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

The technical proposal cannot include any information on costs. The financial proposal should provide a detailed costing for the scope of work and deliverables described for each of the above-mentioned evaluations. The Financial Proposal shall list all major cost components associated with the services and the detailed breakdown of such costs, including fees, travel costs, per diem, etc. All outputs and activities described in the offer must be priced separately on a one-to-one correspondence.

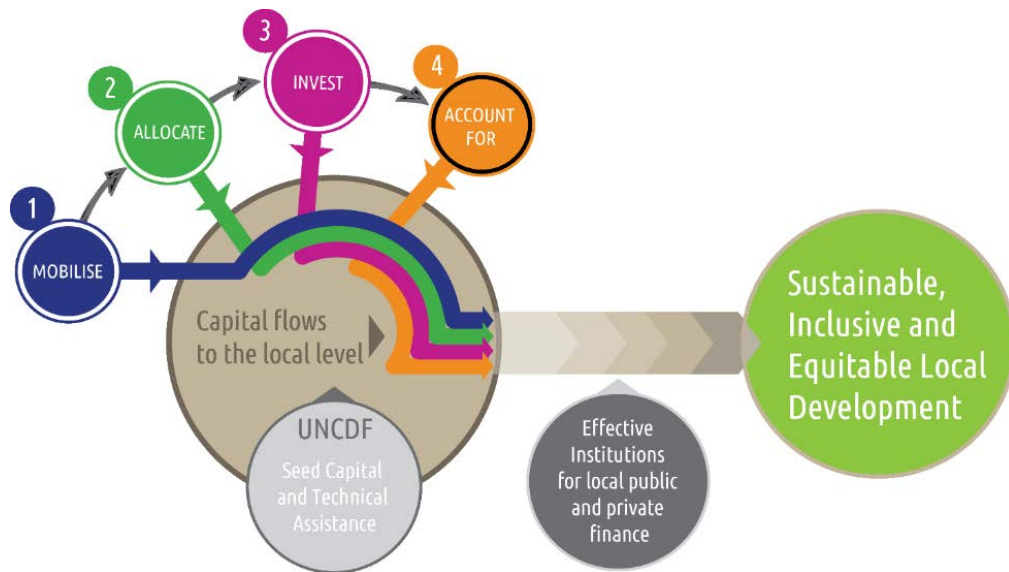
Any output and activities described in the offer but not priced in the Financial Proposal shall be assumed to be included in the prices of other activities or items, as well as in the final total price.

In terms of level of effort, interested firms are invited to propose a methodology that includes at least 14 days for the country visit.

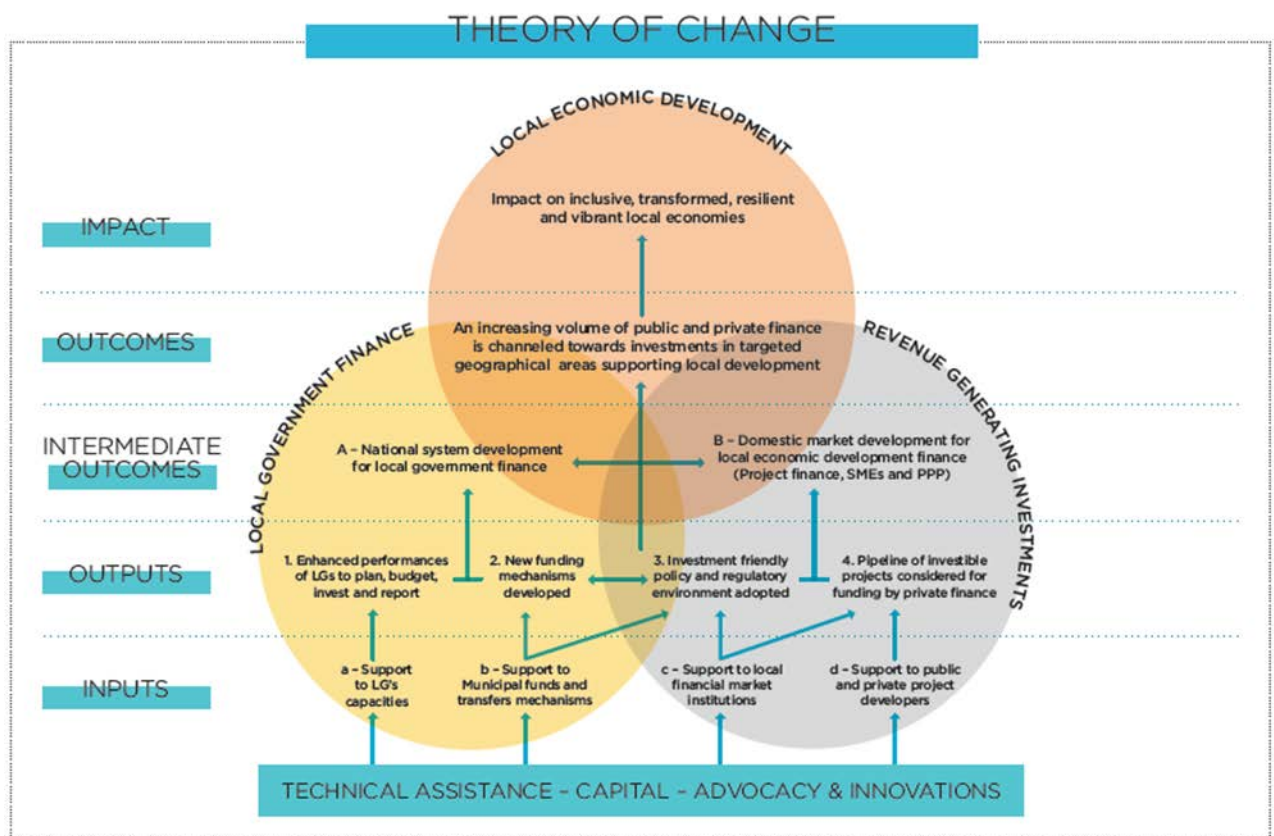
Schedule of payments:

- 25% of contract: upon submission of inception report;
- 35% of contract: upon submission of draft evaluation report;
- 40% of contract: upon approval of final evaluation report.

Annex 1. UNCDF approach to Local Development Finance



Annex 2. UNCDF LDFP Theory of change

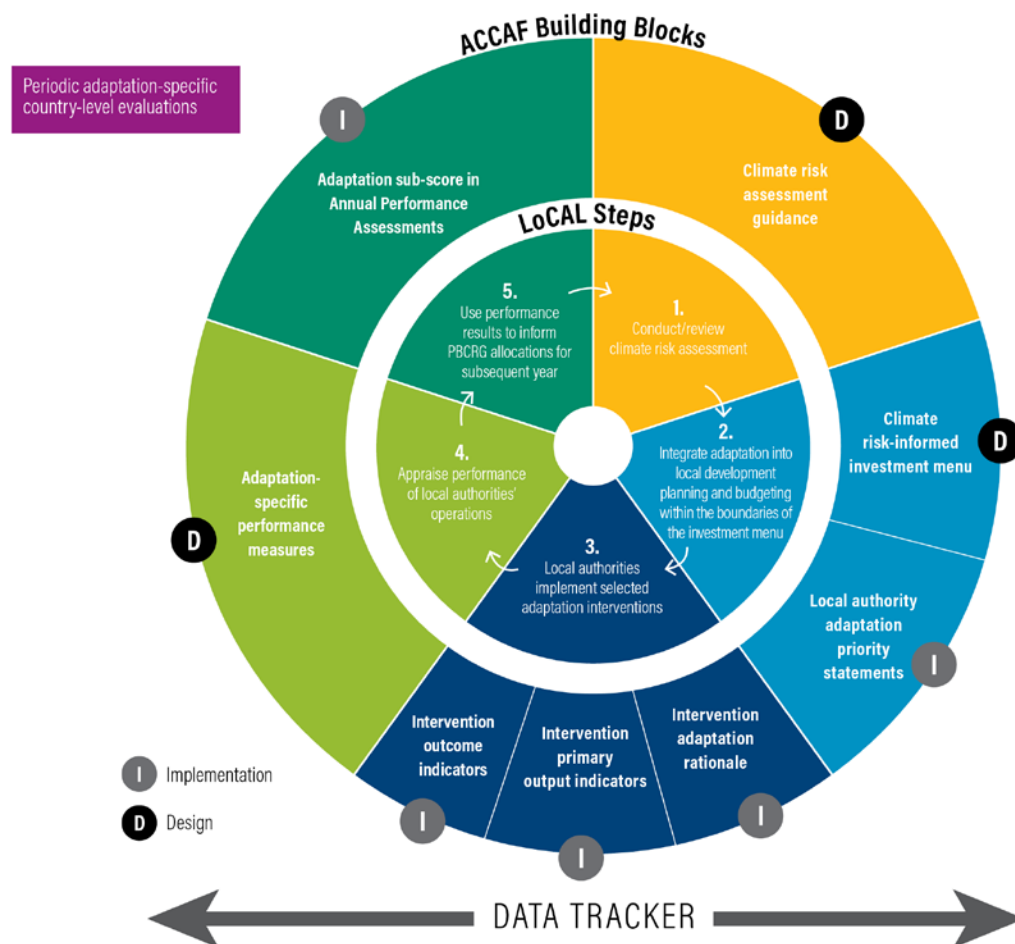


Annex 3: LoCAL Staffing

Duty Station	Name Incumbent	Position Description
Uganda	Sophie DE CONINCK	Project Manager
Bangkok	Rafael Magnus BARBOSA MOSER	Programme Specialist
Bangkok	Kulrisa SHAYAVEE	Project Management Analyst
Bangladesh	Abdullah Zahiruddin Ahmed	Technical Specialist (Climate Change)
Bangladesh	Ferdoush Ara URME	District Climate Finance Coordinator
Bangladesh	Jesmul Muhammad HASAN	Programme Specialist
Bangladesh	Khokon Kumar KUNDU	District Climate Finance Coordinator
Bangladesh	Md Nurul SARKER	District Climate Finance Coordinator
Bangladesh	Md. Asadul HOQUE	District Climate Finance Coordinator
Bangladesh	Md. Asadul ISLAM	Project Assistant
Bangladesh	Md. Enamul HAQUE	Project Operations Manager
Bangladesh	Md. Humayun KABIR	MIS Officer
Bangladesh	Md. Mahedi HASAN	Programme Associate
Bangladesh	Mohammad Helal UDDIN	District Climate Finance Coordinator
Bangladesh	Shagufta NAZ	Admin & Finance Associate
Bangladesh	Sharmin FERDAUSI	District Climate Finance Coordinator
Bangladesh	Soheli CHAKMA	District Climate Finance Coordinator
Bangladesh	Tahrim Zinath CHAUDHURY	Knowledge Management & Communications Officer
Benin	Cossoba NANAKO	Programme Specialist
Benin	Kossobakan Afiolorom Joël BEKOU	Programme Assistant
Bhutan	Under Recruitment	National Coordinator, LoCAL Bhutan
Brussels	New Recruitment P4 Brussels	Programme Coordinator (cost share with LoCAL)
Cambodia	Kosal SAR	Technical co-operat Specialist
Dakar	LoCAL Project Coordinator	Rafael Martins
Gambia	Adama NJIE	Technical Specialist, Gender
Gambia	Annis Dem	Transportation Support
Gambia	Kebba Cham	Financial Mgmt Analyst
Gambia	Lamin Jadama	JSF LoCAL Field Coordinator
Gambia	Modou Lamin Jatta	JSF LoCAL Field Coordinator
Gambia	Niania Dabo	Programme Management Specialist
Gambia	Salifu Jaiteh	JSF LoCAL Field Coordinator
Gambia	Sana Sonko	JSF LoCAL Field Coordinator
Gambia	Sirra Begay Foon	Investment Specialist
Gambia	Under Recruitment	Technical Specialist, LDF
Gambia	Violet Moyo	Climate Change Specialist
Gambia	Yusupha Badjie	Transportation Support
Ghana	Angela KWASHIE	Technical Specialist, LoCAL, LDF
Ghana	Derrick Ohene Ampong	Programme Assistant
Ghana	Enea Stocco	Programme Management Specialist
Ghana	Gordon Mbii	Driver
Ghana	Julia Siqueira	Climate Change Specialist
Ghana	Ludovica AMATUCCI	Programme Analyst
Ghana	Under Recruitment	Knowledge Management Analyst
Ghana	UNV	GrEEN LoCAL Field Coordinator 1
Ghana	UNV	GrEEN LoCAL Field Coordinator 2
Lesotho	National Coordinator, LoCAL	Mabohlokoa Tau
Mali	Ibrahim Coulibaly	Technical Assistant LoCAL
Mali	Safiatou DIARRA	Technical Specialist
Mozambique	Anselmo ZIMBA	Cultural development Analyst
Mozambique	Carlota MALATE	Programme Associate
Mozambique	Ramon CERVERA	Programme Specialist
Niger	Idrissa MOUSSA	Technical Specialist
Tanzania	Aine Mushi	LoCAL programme - National Technical Advisor

Annex 4: ACCAF and LoCAL Steps

Figure ES-1 | How the ACCAF Complements the Existing LoCAL Steps



Annex 5: LoCAL Results Framework

Programme Impact
<p>Promote climate change resilient communities and local economies by increasing investments in Climate Change Adaptation (CCA) at the local level in target countries, thereby contributing to the achievement of the Paris Agreement and the Sustainable Development Goals (SDGs), particularly the specific goals of poverty eradication (SDG1) and climate action (SDG13).</p> <p>Indicators:</p> <ul style="list-style-type: none"> - # of direct and indirect beneficiaries of climate change adaptation interventions and investments financed through PBCRG mechanism (disaggregated by sex)

- # LDCs, Small Island Developing States and other developing countries that are receiving specialized support, and amount of support, including finance, technology and capacity-building, for mechanisms for raising capacities for effective climate change-related planning and management, including focusing on women, youth and local and marginalized communities) through LoCAL
- Evidence of climate change adaptation impact of proposed investments in targeted communities through case studies, focusing particularly on the most vulnerable population groups and applying a gender-sensitive approach

Baselines (2017)

- Direct: Approx. 1,100,242 (approx. 50% women) and indirect: Approx. 6,131,496
- 13 countries (11,331,462 USD)
- N/A

Targets (2022)

- Direct: 2,847,000 (50% women) and indirect: 15,830,000
- 18 countries (22,663,000 USD)
- At least 6 case studies

Programme Outcomes

Outcome 1 - Increased local government **access to climate finance** to implement climate change adaptation investments in participating countries

Outcome 2 – Establishment of a **standard and internationally recognized country-based mechanism** to channel climate finance and increase local resilience through PBCRGs

Indicators:

- % (or #) of participating countries moving from the piloting phase (Phase I) to the roll out of the PBCRG mechanism (Phase II and III)
- Volume of international climate finance channeled through and/or leveraged by UNCDF-designed PBCRG mechanism (disaggregated by source)
- Number of participating countries which have been accredited from international climate funds and/or mechanisms to access international climate finance as result of LoCAL/UNCDF support

Baselines (2017):

- 8 phase I countries (61%); 4 phase II countries (31%) and 1 phase III country (8%)
- 11,131,445 USD
- 0 country

Targets (2022):

- 5 phase I countries (28%); 10 phase II countries (55%) and 3 phase III countries (17%)
- 22,263,000 USD
- 3 countries

Intended Outputs	Output targets	Activity Results
<p>Output 1: Awareness and capacities to respond to climate change adaptation at the local level are increased</p> <p>Indicators:</p> <p>1.1 Number of local authorities that regularly collect, update and analyze climate change information (Alternative Indicator: Number of local climate risk assessments undertaken and/or updated)</p> <p>1.2 Amount of capacity building grants delivered to participating countries</p>	<p>Targets (year):</p> <p>1.1. 15 (2019), 32 (2020), 53 (2021), 71 (2022)</p> <p>1.2. 1,955,110 USD (2022)</p>	<p>1.1 CC information is collected, used and reflected into local authorities' planning</p> <p>1.2 Local authorities and communities have been sensitized to climate change</p>

<p>1.3 Number of targeted local authorities' officials and community representatives that participated in awareness and capacity building activities (disaggregated by sex and subject area)</p> <p>1.4 Number and percentage of participating local authorities meeting the minimum conditions without need for corrective action</p> <p>Baselines (2017):</p> <p>1.1. 10 1.2. 977,555 USD 1.3. Est. 3998 (disaggregation NA) 1.4. N/A</p>	<p>1.3. Est. 9000 (30% women) (2022)</p> <p>1.4. 100 (2022) and 75% on average</p>	<p>1.3 Local authorities and communities have received capacity building through LoCAL support</p>
<p>Output 2: CCA is mainstreamed into government's planning and budgeting systems and investments are implemented in line with the PBCRG mechanism</p> <p>Indicators:</p> <p>2.1 # of targeted local authorities that have integrated climate change adaptation into their local planning & budgeting processes</p> <p>2.2 Number and value of climate-interventions and investments implemented under the PBCRG system (disaggregated by type – capacity building/equipment/infrastructure and ecosystem-based, sector and ecosystem)</p> <p>2.3 % of local authorities that are promoting community-based governance in one or more domains of planning, contracting, monitoring and management for PBCRG investments</p> <p>2.4 % PBCRG interventions and investments explicitly targeting women</p> <p>Baselines (2017):</p> <p>2.1. 55 2.2. 575 (6,142,433 USD) 2.3. 14 2.4. Est. 0.8%</p>	<p>Targets (year):</p> <p>2.1. 55 (2019), 76 (2020), 93 (2021), 99 (2022)</p> <p>2.2. 1495 (15,894,000 USD) (2022)</p> <p>2.3. 19 (2019), 32 (2020), 53 (2021), 71 (2022)</p> <p>2.4. 4% (2022)</p>	<p>2.1 CCA is integrated into local authorities planning and budgeting through the LoCAL/PBCRG system</p> <p>2.2 PBCRG-financed investments are realized in targeted local authorities up to standards</p>
<p>Output 3: The PBCRG system is effectively and sustainably established in participating countries and leads to an increased amount of CCA finance available to local government and local economy</p> <p>Indicators:</p> <p>3.1 Amount of PBCRG delivered to participating countries and local authorities</p> <p>3.2 Number and average increase of local authorities actively using the PBCRG system in participating countries</p>	<p>Targets (year):</p> <p>3.1 15,382,000 USD</p> <p>3.2 77 (2019), 108 (2020),</p>	<p>3.1 PBCRG are channeled through established national systems and used by local authorities for implementing CCA activities</p>

<p>3.3 Volume of domestic resources channeled through and/or leveraged by UNCDF-designed PBCRG mechanism (disaggregated by source)</p> <p>3.4 Evidence of the institutionalization of the PBCRG system in participating countries through policy, regulatory or institutional reforms</p> <p>Baselines (2017):</p> <p>3.1. 5,630,260 USD</p> <p>3.2. 55</p> <p>3.3. 1,888,148 USD (public cofinancing); 0 (private finance)</p> <p>3.4. –</p>	<p>133 (2021) 142 (2022)</p> <p>3.3 3,776,296 USD (public cofinancing, 2022); 1,000,000 USD (private finance, 2022)</p> <p>3.4 At least 3 countries</p>	<p>3.2 LoCAL/PBCRG system is effectively rolled out and progressively scaled up in participating countries</p> <p>3.3 Private and public climate finance is mobilized and available to local authorities for implementing CCA activities</p> <p>3.4 PBCRG system is a country-wide and institutionalized mechanism in participating countries</p>
<p>Output 4: The role of local authorities and of the PBCRGs in addressing climate change are increasingly recognized at international level, through outreach, learning and quality assurance</p> <p>Indicators:</p> <p>4.1 Number of high-level initiatives referencing UNCDF LoCAL experience</p> <p>4.1 Evidence of use of PBCRG/LoCAL knowledge and communication products by the climate and development international community</p> <p>Baselines (2017):</p> <p>4.1. 22 high level initiatives</p> <p>4.2. –</p>	<p>Targets (year):</p> <p>4.1 46 high level initiatives</p> <p>4.2 At least 6 evidence case</p>	<p>4.1 LoCAL/PBCRG system is an internationally recognized mechanism to foster decentralized climate finance</p> <p>4.2 LoCAL/PBCRG best practices and lessons learned are shared and used by governments and practitioners</p>

Annex 6 LoCAL cumulative delivery 2014 – 2020

Country	2014–2019	2020	Total
Bangladesh	5,054,901	2,869,538	7,924,440
Benin	943,483	76,725	1,020,207
Bhutan	796,235	56,197	852,432
Burkina Faso	0	27,422	27,422
Cambodia	2,901,073	540,144	3,441,218
Chad	18,200	0	18,200
Côte d'Ivoire	20,339	20,800	41,139
Fiji	10,398	0	10,398
The Gambia	1,960,154	2,339,794	4,299,947
Ghana	577,499	1,157,065	1,734,564
Guinea	2,456	0	2,456
Jamaica	0	15,700	15,700
Lao PRD	2,031,931	27,475	2,059,406
Lesotho	85,226	102,082	187,308
Liberia	0	26,119	26,119
Mali	887,546	389,044	1,276,589
Malawi	0	16,150	16,150
Mozambique	4,179,725	3,810,243	7,989,968
Nepal	411,034	0	411,034
Niger	783,571	908,555	1,692,126
Pakistan	0	18,100	18,100
Palestine	0	14,450	14,450
Peru	0	10,443	10,443
Rwanda	0	14,850	14,850
São Tomé and Príncipe	1,422	17,920	19,343
Senegal	0	15,400	15,400
Solomon Islands	13,739	10,200	23,939
Tanzania	177,317	45,135	222,453
Tuvalu	564,944	170,400	735,344
Uganda	48,231	0	48,231
Vanuatu	4,950	0	4,950
West Africa	30,948	120,348	151,296
Pacific	0	28,808	28,808
Global Secretariat	4,871,201	540,205	5,411,406
GMS (indirect cost)	1,490,099	884,510	2,374,609
Total	27,866,621	14,273,822	42,140,442

Annex 7 LoCAL Global Programme Funding Source 2014 – 2020 (USD)

Source	Funding
Belgian Cooperation ¹	1,964,085
Cambodia DMK Fund Investment ³	9,021,184
Cambodia Gov't Investment (IFAD loan) ³	3,960,993
Catalan/Mozambique ¹	300,000
EU Bangladesh ¹	4,400,000
EU Bhutan ³	7,000,000
EU The Gambia ¹	6,400,000
EU Ghana ¹	6,000,000
EU Mozambique ¹	4,908,674
EU GCCA+I ²	4,904,750
EU GCCA+II	7,750,400
Government of Andorra	22,213
Government of Bangladesh ³	2,773,294
Government of Benin ³	410,000
Government of Mali ³	755,000
Government of Liechtenstein	160,000
Italy JPO Programme (in-kind)	460,000
Italy Ministry of Foreign Affairs	150,000
Korean Ministry of Environment	1,000,000
NDC Partnership	572,080
One UN/Mali	400,000
Sida/Bangladesh ¹	6,172,166
Sida/Booster Fund	5,260,870
Sida/Cambodia ¹	2,288,287
Sida/Last Mile Trust Fund	937,107
Sida/Mozambique ¹	13,800,000
Sida/PFIS ¹	3,000,000
UNCDF	1,689,550
UN Development Programme–GEF ³	2,145,000
UN Development Programme Niger	450,000
UNICEF Joint SDG fund (Ghana)	15,000
Total	99,070,654

Annex 7: UNCDF Evaluation Quality Standard²¹

Following UNDP’s Evaluation Policy, to which UNCDF is party, all external evaluations commissioned by UNCDF’s Evaluation Unit are subject to external quality control by UNDP’s Independent Evaluation Office. Bidders are requested to respect the elements of this quality assessment tool in coming up with their proposed approach for the evaluation.

Evaluation TOR, evaluation design (GEF and UNDP)

Does the TOR appropriately and clearly outline the purpose, objectives, criteria and key questions for the evaluation and give adequate time and resources?	
1.1.	<p>Does the TOR clearly outline the focus for the evaluation in a logical and realistic manner?</p> <ul style="list-style-type: none"> • Follows the proposed structure detailed in the UNDP evaluation guidelines • Includes the evaluation purpose, scope, and objectives • Includes outputs and/or outcomes to be evaluated • Provides evaluation context and detail • Includes information regarding the results framework and the theory of change in the main text or annexes • Includes information about the project / programme beneficiaries (type, sex, number)
1.2.	<p>Does the TOR clearly detail timescales and allocation of days for the evaluation?</p> <ul style="list-style-type: none"> • There is a timescale for the scope and focus of the evaluation • The allocation of days across the evaluation is detailed and appropriate given the scope of the evaluation • There is an outline for the evaluation team size which recognizes the needs and scope of the evaluation • Roles and responsibilities of team members (where a team is called for) are delineated
1.3.	<p>Does the TOR clearly outline the evaluation implementation and management arrangements?</p> <ul style="list-style-type: none"> • A clear role for evaluation partners is outlined • A feedback mechanism is clearly outlined
1.4.	<p>Is the proposed outline of the evaluation’s approach and methodology clearly detailed in the TOR?</p> <ul style="list-style-type: none"> • The number of evaluation questions seems appropriate given the scope of the evaluation • General methodological approach is outlined • Data required, sources and analysis approaches are outlined • Funding analysis requirements and funding data are outlined
1.5.	<p>Do the TOR include a detailed request to the evaluator to include gender, vulnerable groups, disability issues, and/or human rights in the evaluation? (non-GEF evaluations)</p> <ul style="list-style-type: none"> • Details for gender, vulnerable groups, disability issues and/or human rights specific questions are requested in the TOR • The TOR outline proposed tools, methodologies, and data analysis to meet this requirement

²¹ <http://web.undp.org/evaluation/guideline/documents/PDF/section-6.pdf>

Evaluation report structure, methodology and data sources

Are the evaluation objectives, criteria, methodology and data sources fully described and are they appropriate given the subject being evaluated and the reasons for carrying out the evaluation?	
STRUCTURE	
2.1.	<p>Is the evaluation report well balanced and structured?</p> <ul style="list-style-type: none"> Follows the proposed evaluation report structure detailed in the UNDP Evaluation guidelines <p>If not followed, does the report structure used allow for a well-balanced report?</p> <ul style="list-style-type: none"> The report includes sufficient and comprehensible background information The report is a reasonable length The required annexes are provided
2.2.	Does the evaluation report clearly address the objectives of the evaluation as outlined in the TOR?
METHODOLOGY	
2.3.	<p>Is the evaluation methodological approach clearly outlined?</p> <ul style="list-style-type: none"> Any changes from the proposed approach are detailed with reasons why
2.4.	Is the nature and extent of stakeholder roles and involvement explained adequately?
2.5.	Does the evaluation clearly assess the project/ programme's level of relevance/ coherence?
2.6.	Does the evaluation clearly assess the project/ programme's level of effectiveness?
2.7.	Does the evaluation clearly assess the project/ programme's level of efficiency?
2.8.	Does the evaluation clearly assess the project/ programme's level of sustainability?
DATA COLLECTION	
2.9.	<p>Are data collection methods and analysis clearly outlined?</p> <ul style="list-style-type: none"> Data sources are clearly outlined (including triangulation methods) Data analysis approaches are detailed Data collection methods and tools are explained
2.10.	<p>Is the data collection approach and analysis adequate for the scope of the evaluation?</p> <ul style="list-style-type: none"> A comprehensive set of data sources (especially for triangulation) is included where appropriate A comprehensive set of quantitative and qualitative surveys, and analysis approaches is included where appropriate Clear presentation of data analysis and citation within the report Meetings and surveys with stakeholders and beneficiary groups are documented, where appropriate
2.11.	<p>Are any changes to the evaluation approach or limitations in implementation clearly explained?</p> <ul style="list-style-type: none"> Issues with access to data or verification of data sources Issues in the availability of interviewees Outline of how these constraints were addressed
REPORT CONTENT	
2.12.	<p>Does the evaluation draw linkages to the UNDP country programme strategy and/ or UNDAF/ UNSDCF?</p> <ul style="list-style-type: none"> It evaluates the programme/ project theory of change and its relevance It analyses the linkage of the project/ programme being evaluated to the UNDP country programme strategy It makes linkages to the United Nations Sustainable Development Cooperation Framework (UNSDCF)
2.13.	<p>Does the evaluation draw linkages to related national government strategies and plans in the sector/area of support?</p> <ul style="list-style-type: none"> The evaluation discusses how capacity development, or the strengthening of national capacities, can be addressed
2.14.	<p>Does the evaluation detail project funding and provide funding data (especially for GEF)?</p> <ul style="list-style-type: none"> Variations between planned and actual expenditures are assessed and explained

	<ul style="list-style-type: none"> • Observations from financial audits completed for the project are considered
2.15.	<p>Does the evaluation include an assessment of the project/ programme's initial results framework, M&E design, implementation, and its overall quality?</p> <ul style="list-style-type: none"> • Monitoring data presented and sufficiently detailed to enable analysis for the evaluation • Data was disaggregated by sex and vulnerable groups
2.16.	<p>Does the evaluation identify ways in which the programme/ project has produced a catalytic role and demonstrated: the production of a public good; demonstration; replication; and/or scaling up? (GEF ONLY)</p>
2.17	<p>Are all indicators in the logical framework assessed individually, with final achievements noted?</p>

Cross-cutting issues

Does the evaluation report address gender and other key cross-cutting issues?	
3.1.	Where relevant, does the evaluation adequately include and analyse the intervention's impact on gender, human rights, disabilities and vulnerable groups?
3.2.	Does the report analyse the poverty and environment nexus or sustainable livelihood issues, as relevant?
3.3.	Does the report discuss disaster risk reduction and climate change mitigation and adaptation issues where relevant?
3.4.	Does the report discuss crisis prevention and recovery issues, as relevant?
3.5.	<p>Are gender equality and empowerment of women integrated in the evaluation scope, and are the evaluation criteria and questions designed in a way that ensures data related to gender equality and empowerment of women will be collected?</p> <ul style="list-style-type: none"> • The evaluation includes an objective specifically addressing gender equality and/or human rights issues and/or gender was mainstreamed in other objectives • A stand-alone evaluation criterion on gender and/or human rights was included in the evaluation framework or mainstreamed into other evaluation criteria • One or several dedicated gender equality and empowerment of women evaluation questions were integrated into the evaluation
3.6.	<p>Were gender-responsive methodology, methods and tools, and data analysis techniques selected?</p> <ul style="list-style-type: none"> • The evaluation specifies how gender issues are addressed in the methodology, including how data collection and analysis methods integrate gender considerations and ensure data collected is disaggregated by sex • The evaluation methodology employs a mixed-methods approach, appropriate to evaluating gender equality and empowerment of women considerations • A diverse range of data sources and processes are employed (i.e. triangulation, validation) to guarantee inclusion, accuracy and credibility • The evaluation methods and sampling frame address the diversity of stakeholders affected by the intervention, particularly the most vulnerable, where appropriate
3.7.	<p>Do the evaluation findings, conclusions and recommendation reflect a gender analysis?</p> <ul style="list-style-type: none"> • The evaluation has a background section that includes analysis of specific social groups affected and/ or spelling out the relevant instruments or policies related to gender equality and human rights • The findings include data analysis that explicitly and transparently triangulates the voices of different social role groups, and/ or disaggregates quantitative data by sex, where applicable • Unanticipated effects of the intervention on gender equality and human rights are described • The evaluation report provides specific recommendations addressing issues of gender equality and empowerment of women, and priorities for action to improve gender equality and empowerment of women or the intervention or future initiatives in this area

3.8.	Does the evaluation consider disability issues? <ul style="list-style-type: none"> • Evaluation questions cover different aspects of disability inclusion • Evaluation findings and analysis provide data and evidence on disability inclusion • Evaluation conclusions and/ or recommendations reflect the findings on disability inclusion
3.9.	Does the evaluation draw linkages to the Sustainable Development Goals (SDGs) and relevant targets and indicators for the area being evaluated?
3.10.	Does the terminal evaluation adequately address social and environmental safeguards, as relevant? (GEF ONLY)

Evaluation findings, conclusions and recommendations

Does the report clearly and concisely outline and support its findings, conclusions and recommendations?	
FINDINGS AND CONCLUSIONS	
4.1.	Does the evaluation report contain a concise and logically articulated set of findings? <ul style="list-style-type: none"> • The findings are structured around the evaluation criteria and evaluation questions • The findings are detailed and supported by evidence • The findings go beyond an analysis of activity implementation
4.2.	Does the evaluation report contain a concise and logically articulated set of conclusions which are stand-alone in nature?
4.3.	Does the evaluation report contain a concise and logically articulated set of lessons learned? <ul style="list-style-type: none"> • The lessons learned are substantive • The lessons learned are appropriately targeted at different implementation and organizational levels
4.4.	Do the findings and conclusions relate directly to the objectives of the project /programme and the evaluation? <ul style="list-style-type: none"> • They relate directly to the objectives of the project/ programme • They relate to the objectives of the evaluation as outlined in the TOR for the evaluation
4.5.	Are the findings and conclusions supported with data and interview sources? <ul style="list-style-type: none"> • Constraints in access to data and interview sources are detailed
4.6.	Do the conclusions build on the findings of the evaluation? <ul style="list-style-type: none"> • The conclusions go beyond the findings and present a balanced picture of the strengths and limitations of the intervention
4.7.	Are risks discussed in the evaluation report?
RECOMMENDATIONS	
4.8.	Are the evaluation recommendations clear, concise, realistic and actionable? <ul style="list-style-type: none"> - They are reasonable given the size and scope of the project/ programme
4.9.	Are recommendations linked to country programme outcomes and strategies and actionable by the country office? <ul style="list-style-type: none"> • Guidance is given for implementation of the recommendations • Recommendations identify implementing roles (UNDP, government, programme, stakeholder, other)

