

## TERMINAL EVALUATION TERMS OF REFERENCE

### INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the GEF Medium-sized project: *Bosnia and Herzegovina Biomass energy for employment and energy security* (PIMS # 3880.)

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

### PROJECT SUMMARY TABLE

Project Title:	<i>Bosnia and Herzegovina Biomass energy for employment and energy security</i>			
GEF Project ID:	00054633		<u>at endorsement</u> <u>(Million US\$)</u>	<u>at completion</u> <u>(Million US\$)</u>
UNDP Project ID:	00046049	GEF financing:	966,850	966,850
Country:	Bosnia and Herzegovina	IA/EA own:	1.322,100	1.322,100
Region:	RBEC	Government:		
Focal Area:	CC	Other:	300,000	150,000
FA Objectives, (OP/SP):		Total co-financing:	1.622,100	1.472,100
Executing Agency:	UNDP	Total Project Cost:	2.588,950	2.438,950
Other Partners involved:	Ministry of Foreign Trade and Economic Relations of BiH; Partner Ministries of the RS Entity	ProDoc Signature (date project began):		21.09.2009.
		(Operational) Closing Date:	Proposed: 31.12.2013.	Actual: 31.12.2014.

### OBJECTIVE AND SCOPE

The UNDP Bosnia and Herzegovina (within the Energy and Environment Cluster) has implemented activities of the Global Environment Facility (GEF) medium-sized project on BiH Biomass Energy for Employment and Energy Security. The key project objective is the reduction of greenhouse gas emissions, by installing or retrofitting biomass boilers. Project activities aim to support such installations by creating sustainable markets for biomass energy. Domestic benefits include job creation, reduced emissions, and improved quality of heating. The project has targeted the education sector (primary schools) in the three municipalities of Srebrenica region (Srebrenica, Bratunac, Milići).

The project was designed to: remove market barriers to the adoption of sustainable biomass energy services in rural areas of Bosnia and Herzegovina through market transformation, enhance job creation, community poverty reduction and local energy security, to increase market demand for biomass energy, to convince policy makers, financial sector, fuel and technology suppliers and niche markets on benefits and market opportunities for biomass energy and sustainable biomass fuel, to enhance advocacy capacities in biomass energy, to strengthen and expand sustainable fuel supply markets. The project has aimed at enhancing local experience and awareness of biomass energy providing a firm foundation for these issues to be addressed in the context of larger initiatives to address energy, forest and business policies and legislation.

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

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

## EVALUATION APPROACH AND METHOD

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An overall approach and method<sup>1</sup> for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (Annex C). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Sarajevo (Bosnia and Herzegovina), including the following project sites: Banja Luka, Srebrenica, Bratunac. Interviews will be held with the following organizations and individuals at a minimum:

- Ministry of Foreign Trade and Economic Relations of BiH – GEF operational focal point and Head of the Environment department
- Ministry of Agriculture, Forestry and Water management of RS – steering board members
- Ministry of Education and Culture of RS – steering board members
- Ministry for Industry, Energy and Mining of RS – steering board members
- Ministry for Spatial Planning, Civil engineering and Ecology of RS – steering board members
- UNDP Senior Management staff
- UNDP regional office in Srebrenica staff
- Field technical staff at the infrastructure projects' sites
- Biomass association representative
- Other technical consultants as needed

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<sup>1</sup> For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

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

## EVALUATION CRITERIA & RATINGS

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

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

## PROJECT FINANCE / COFINANCE

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

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

## MAINSTREAMING

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

## IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.<sup>2</sup>

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

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

## IMPLEMENTATION ARRANGEMENTS

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

## EVALUATION TIMEFRAME

The total duration of the evaluation will be 16 days according to the following plan:

Activity	Timing	Completion Date
<b>Preparation</b>	2 days	26.09.2014.
<b>Evaluation Mission</b>	7 days	20.10.2014.
<b>Draft Evaluation Report</b>	6 days	05.11.2014.
<b>Final Report</b>	1 day	10.11.2014.

<sup>2</sup> A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

## EVALUATION DELIVERABLES

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The evaluation team is expected to deliver the following:

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

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

## TEAM COMPOSITION

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The evaluation team will be composed of 1 international evaluator. The consultant shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The evaluator must present the following qualifications:

- Minimum 10 years of relevant professional experience
- Knowledge of UNDP and GEF
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the targeted focal area(s)
- Proven track record with policy advice and/or project development/implementation in biomass energy (or renewable energy) related projects in transition economies
- Proven track record of application of results-based approaches to evaluation of projects focusing on renewable energy and biomass energy (relevant experience in the region and within UN system would be an asset);
- Familiarity with priorities and basic principles of projects focusing of biomass energy and relevant international best-practices;
- Knowledge of and recent experience in applying UNDP and GEF M&E policies and procedures;
- Advanced university degree in environmental or relevant field is an asset
- Proven ability and practical experience in monitoring and evaluation of international projects.

## EVALUATOR ETHICS

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

## PAYMENT MODALITIES AND SPECIFICATIONS

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%	Milestone
10%	Upon submission of the evaluation plan and schedule
40%	Following submission and approval of the 1ST draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

## APPLICATION PROCESS

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Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs).

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

## ANNEX A: PROJECT LOGICAL FRAMEWORK

Project Strategy	Measurable Indicators	EOP Target
<b>Project Objective:</b> The overall project goal is a sustainable reduction of GHG emissions through a transformation of the biomass energy market in Bosnia and Herzegovina.	Number of schools retrofitted or new biomass boilers with GHG reductions	
<b>Outcome 1:</b>  Market demand for biomass energy is increased	<u>Output 1.1:</u> Number of new small scale biomass energy projects under advanced planning (engineering design stage) / construction in the project area	10 new small scale biomass energy projects <u>as a mid-term target</u>
	<u>Output 1.2:</u> Number of schools retrofitted or new biomass boilers with GHG reductions	10 schools
	<u>Output 1.3:</u> Emission reductions from the use of biomass boilers	5,200 tCO <sub>2eq</sub> of direct emissions reductions
	<u>Output 1.4:</u> Number of regions where business model (heat service contracting) is replicated	At least 2 other regions replicating the business model
<b>Outcome 2:</b>  Sustainable biomass fuel supply markets strengthened and expanded	<u>Output 2.1:</u> Number of wood-processing companies showing real interest in wood fuel supply to local markets in the project area that have forestry concessions that cover a percentage of the required biomass supply for the 10 boilers, and have MOUs for fuel supply projects	5 companies with MOUs having 200% of fuel required by demonstration projects <u>as a mid-term target</u>
	<u>Output 2.2:</u> Annual tonnage or volume of sustainably sourced (certified) biomass fuel	250 tonnes or 900 m <sup>3</sup> per year of sustainably sourced (certified)

Project Strategy	Measurable Indicators	EOP Target
	wood (chips or logs) supplied to project boilers at a competitive price	biomass fuel wood
	Reductions in the perception of fuel supply risk as measured in a “consumer confidence” survey.	50% reduction as indicated in a “consumer confidence” survey.
	Offers for biomass fuel supply as a measure of competition in the fuel supply business for the 10 biomass boilers	Biomass supply offers that total 150% of the needs of the 10 biomass boilers
<b>Outcome 3:</b>  Policy makers, financial sector, fuel and technology suppliers and niche markets are convinced of benefits and market opportunities for biomass energy	“Biomass energy awareness and capacity score” from project survey to indicate improved awareness and capacities of users on biomass issues	Doubling of awareness from surveys <u>as a mid-term target</u>
	“Biomass energy awareness and capacity score” from project survey to indicate improved awareness and capacities of users on biomass issues	Quadrupling of “Biomass energy awareness and capacity score” in project area (see Output 3.3)

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

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- Project Document
- Project CEO Approval Document
- Inception Report
- GEF Project Implementation Reviews
- Minutes of the Project Steering Committee meetings
- Mid-term evaluation report



## ANNEX C: EVALUATION QUESTIONS

Evaluative Criteria Questions	Indicators	Sources	Methodology
<b>Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?</b>			
•	•	•	•
•	•	•	•
•	•	•	•
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
•	•	•	•
•	•	•	•
•		•	•
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>			
•	•	•	•
•	•	•	•
•	•	•	•
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
•	•	•	•
•	•	•	•
•	•	•	•
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b>			
•	•	•	•
•	•	•	•

## ANNEX D: RATING SCALES

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

## ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

### Evaluators:

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

### Evaluation Consultant Agreement Form<sup>3</sup>

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

Name of Consultant: \_\_\_\_\_

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at *place* on *date*

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

<sup>3</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

## ANNEX F: EVALUATION REPORT OUTLINE<sup>4</sup>

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- i. Opening page:
  - Title of UNDP supported GEF financed project
  - UNDP and GEF project ID#s.
  - Evaluation time frame and date of evaluation report
  - Region and countries included in the project
  - GEF Operational Program/Strategic Program
  - Implementing Partner and other project partners
  - Evaluation team members
  - Acknowledgements
- ii. Executive Summary
  - Project Summary Table
  - Project Description (brief)
  - Evaluation Rating Table
  - Summary of conclusions, recommendations and lessons
- iii. Acronyms and Abbreviations  
(See: UNDP Editorial Manual<sup>5</sup>)
1. Introduction
  - Purpose of the evaluation
  - Scope & Methodology
  - Structure of the evaluation report
2. Project description and development context
  - Project start and duration
  - Problems that the project sought to address
  - Immediate and development objectives of the project
  - Baseline Indicators established
  - Main stakeholders
  - Expected Results
3. Findings  
(In addition to a descriptive assessment, all criteria marked with (\*) must be rated<sup>6</sup>)
- 3.1 Project Design / Formulation
  - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
  - Assumptions and Risks
  - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
  - Planned stakeholder participation
  - Replication approach
  - UNDP comparative advantage
  - Linkages between project and other interventions within the sector
  - Management arrangements
- 3.2 Project Implementation
  - Adaptive management (changes to the project design and project outputs during implementation)
  - Partnership arrangements (with relevant stakeholders involved in the country/region)
  - Feedback from M&E activities used for adaptive management

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<sup>4</sup>The Report length should not exceed 40 pages in total (not including annexes).

<sup>5</sup> UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

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

- Project Finance:
  - Monitoring and evaluation: design at entry and implementation (\*)
  - UNDP and Implementing Partner implementation / execution (\*) coordination, and operational issues
- 3.3** Project Results
- Overall results (attainment of objectives) (\*)
  - Relevance(\*)
  - Effectiveness & Efficiency (\*)
  - Country ownership
  - Mainstreaming
  - Sustainability (\*)
  - Impact
- 4.** Conclusions, Recommendations & Lessons
- Corrective actions for the design, implementation, monitoring and evaluation of the project
  - Actions to follow up or reinforce initial benefits from the project
  - Proposals for future directions underlining main objectives
  - Best and worst practices in addressing issues relating to relevance, performance and success
- 5.** Annexes
- ToR
  - Itinerary
  - List of persons interviewed
  - Summary of field visits
  - List of documents reviewed
  - Evaluation Question Matrix
  - Questionnaire used and summary of results
  - Evaluation Consultant Agreement Form

## ANNEX G: EVALUATION REPORT CLEARANCE FORM

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

Evaluation Report Reviewed and Cleared by

UNDP Country Office

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

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

UNDP GEF RTA

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

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