ANNEXES

1. TERMS OF REFERENCE

2. EVALUATION MATRIX

The information matrix is useful to finalize the overall evaluation method in a way which cuts across the evaluation questions and which makes a good enough mix of evaluation tools, considering the available time and resources. The method draws up the list of all evaluation tools suggested in the tables. Each tool is then considered from the viewpoint of its capacity to help answering several questions and sub-questions. **It is important to note that these questions are only indicative and should be tailored in terms of language, tone, style and format to match the audience, for this the consultants will develop evaluation protocols.**

EVALUATION MATRIX				
Questions to be addressed by outcome-level evaluation	**Sub-questions**	**What to look for**	**Data sources**	**Data collection methods**
RELEVANCE. Relevance concerns the extent to which a development initiative and its intended outputs or outcomes are consistent with national and local policies and priorities and the needs of intended beneficiaries. Relevance also considers the extent to which the initiative is responsive to UNDP corporate plan and human development priorities of empowerment and gender equality issues. Relevance concerns the congruency between the perception of what is needed as envisioned by the program planners and the reality of what is needed from the perspective of intended beneficiaries. It also incorporates the concept of responsiveness—that is, the extent to which UNDP was able to respond to changing and emerging development priorities and needs in a responsive manner:				

• Are the stated outcomes and indicators appropriate for the development situation in Barbados and the Eastern Caribbean? • Are the monitoring indicators appropriate to measure achievement of the outcome or is there is need for improvement?	• To what extent was the programme designed, implemented, monitored and evaluated, as part of a collaborative process among all relevant stakeholders? • The decision making for the Programme is based on what type of information? (indicators, social data, surveys, studies) • Is information on performance and achieved results accessible to all stakeholders? • Is the project reported on results or activities?	• M&E systems, roles and processes • Mechanisms the project have put in place to monitor implementation and its related effectiveness	• M&E templates • Program key documents • Results frame-works, other intervention logic models • CO, key stakeholders, Governments • Progress reports • Interviews with beneficiaries • Online survey	• Desk reviews of secondary data • Interviews of government partners • Interview with partners/service providers • Interviews with civil society actors • Field visits to selected projects-activities
• To what extent are the focus areas relevant to the development needs of Barbados and the Eastern Caribbean and the 2014 to 2017 UNDP Strategic Plan during the remainder of the programme cycle? What strategies should UNDP undertake to achieve intended development results? What are the priority issues that UNDP could focus on in the short-term? • Does the UNDP programme address urgent and emerging priorities, which were not originally in the SPD, such as gradually integrating the emerging post-2015 development agenda, as well as disaster risk reduction, climate change, citizen security? How should they be reflected in the results matrix?	• To what extent was the program the best option to respond to development challenges, as stated in project document and as reflected in country-level project work plans? • What was the added value from the Programme? • Is the initiative aligned with sub-regional and national strategies? • Is it consistent with human development needs and the specific development challenges in the countries? • To what extent has UNDP adopted participatory approaches in planning and delivery of the initiative and what has been feasible in the country context?	• Alignment of the project with sub-region al and national priorities • Prioritization process • Program flexibility • Response capacity	UNDAF document, UNDP Strategic Plan 2014-2017. UNDP Youth Strategy, UNDP Gender Strategy, MDG's, National development strategy documents, CPAPs, MCAP	

	• How flexible and adaptable was the program to address the changing dynamics in the countries?	• The ways the project address the human development needs of intended beneficiaries	Interviews with key partners and stakeholders	
• How has UNDP observed its commitment to addressing cross-cutting issues such as human rights based approaches, gender mainstreaming, capacity building and knowledge management?	• Are UNDP's approaches, resources, models, conceptual framework relevant to address cross-cutting issues such as human rights based approaches, gender mainstreaming, capacity building and knowledge management	• To what extent target groups and other stakeholders been involved in project design?		

EFFICIENCY. Efficiency measures how economically resources or inputs (such as funds, expertise and time) are converted to results. An initiative is efficient when it uses resources appropriately and economically to produce the desired outputs. Efficiency is important in ensuring that resources have been used appropriately and in highlighting more effective uses of resources:

• To what extent have the programme and project outputs resulted from economic use of resources? • With the existing interventions in partnership with other actors and stakeholders, has UNDP achieved the outcome within the set timeframe and inputs – or whether additional resources are required and new or changed interventions are needed in the future?	• To what extent was the structure of the programme efficient (organizational structure, management flow, decision-making, etc.) in comparison to the development results attained? • How efficient were the structures of the programme? (Hierarchy, roles, supervision chain) • Were the resources focused on the set of activities that were expected to produce significant results?	• Cost-effectiveness • The circumstances giving rise to need for time extensions • The fund utilization (over-expenditure / under-expenditures) • Ensuring resources are concentrated on the most important initiatives (or whether they scattered/ spread thinly across initiatives) • UNDP added value to the process	• Programme documents • Progress reports • Project Work Plans, financial reports • Government partners • UNDP staff	• Desk reviews of secondary data • Interview Government partners and Development partners • Interviews with UNDP staff embers
• Are there any synergies between UNDP, other UN Agencies and donors?	• To what extent and in what ways did national ownership – or the lack thereof – impact the efficiency and effectiveness of the programme? • Was there any identified synergy between UNDP initiatives that contributed to reducing costs while supporting results? • How has the inter-agency work and UNCT assisted the efficiency of program delivery? • Were the UNDP activities, processes and results owned by the stakeholders?	• Articulation • UN Synergies • Possible partnership alternatives	• Feedback, opinions of other UN agencies, other development agencies, project partners	• Interviews with other UN agencies, other development agencies, project partners

• To what extent were quality outputs delivered on time? • Are there any gaps in terms of time, resources, capacities, etc. that may prevent the achievement of the outcomes?	• Has the project or programme been implemented within deadline and cost estimates? Why?	• Delivery, implementation • Execution rates • Bottlenecks		
EFFECTIVENESS. Effectiveness is a measure of the extent to which the initiative's intended results (outputs or outcomes) have been achieved or the extent to which progress toward outputs or outcomes has been achieved.				
• Can UNDP's outputs and other interventions be credibly linked to the achievement of the outcomes? • What progress has been made in terms of achieving UNDP outputs and outcomes (including an analysis of both project activities and soft assistance)? • What are the key outputs that have been or likely to be produced by UNDP to contribute to the outcomes?	• To what extent have the objectives and expected results (outputs, outcomes), been clear, realistic and coherent in terms of contributing to the regional priorities and UNDP's overarching strategies and policies? • Is there a clear theory of change for the program? • Does the value chain clearly specifies how the inputs turn into activities, outputs and outcomes? • To what extent and in what ways did the programme contribute to achieving the expected results? • What were the good practices, success stories, lessons learned and transferable examples?	• Contribution • Intervention logic • Causality • Outcomes the program achieved • Outputs the program achieved	• Progress reports on projects • UN staff • Development partners • Government partners • Beneficiaries • Products, publications • M&E tools and procedures • Project evaluations	• Desk reviews of secondary data • Interviews with Government partners, Development partners, UN staff, civil society partners, associations, and federations • Field visits to selected projects

• What are the factors (negative and positive) that affect the accomplishment of the outputs? • What were the positive and negative, intended or unintended, changes contributed by UNDP's work?	• What are the external and internal factors that +/- affect the program performance? • Were there any unintended results? (+/-)	• In addition to UNDP initiatives, the unanticipated/unintended (+ and -) factors that may have affected the results • What couldn't have been done without the UNDP		
• What has been the quality of output and outcome level monitoring and how has it contributed to programme achievements? How have corresponding outputs delivered by UNDP effective the outcomes, and in what ways have they not been effective? How effectively were project evaluations used by the sub-region al office? • How could the SPD/MCPAP implementation could be improved over the next two and a half years?	• Is there a proper M&E system to measure and report progress and results? • Are there clear M&E procedures, roles and proper tools? • Did the evaluation exercises influence strategic decision-making? • What lessons can be learned from the implementation in order to improve performance, results and effectiveness in the future? • Evaluation recommendations	• M&E usefulness for UNDP and other stakeholders • Proper output measurement • Evaluation role in management • Recommendations based on evidence, usefulness, and viability		

• How has UNDP observed it commitment to addressing cross-cutting issues such as human rights based approaches, gender mainstreaming, capacity building and knowledge management?	• The extent to which the HD initiative is designed to appropriately incorporate in each outcome area contributions to attainment of gender equality? • ¿Which UNDP documents, tools, guidelines exist to equip the team to take gender and HR into account? • ¿Which data is generated to inform MS and management on HR / gender issues, e g when carrying out capacity building? ¿Who, within UNDP, is in charge of HR and gender? • Has UNDP invested in the sharing of best practices within the sub-region al office or with other offices	• Example(s) of how the program contributes to gender equality • HR approach • Capacity Building • Knowledge Management • Best practices identification and sharing. • Institutional memory.		
SUSTAINABILITY. Sustainability measures the extent to which benefits of initiatives continue after external development assistance has ended. Assessing sustainability involves evaluating the extent to which relevant social, economic, political, institutional and other conditions are present and, based on that assessment, making projections about the national capacity to maintain, manage and ensure the development results in the future.				
• What is the prospect of the sustainability of UNDP interventions related to the outcomes? Provide recommendations for ensuring sustainability. • Indicate if the scaling up/replication of the projects or methodology is feasible and make recommendations to ensure the same; assess how well UNDP replicated or extends projects including timings and change in project design etc.	• Where relevant, have operating capacities been created and/or reinforced in key stakeholders? • Were initiatives designed to have sustainable results given the identifiable risks? • Did they include an exit strategy? • How does UNDP propose to exit from projects? • To what extent does the exit strategy take into account the following:	• How has UNDP addressed the challenge of building national capacity in the face of high turnover of government officials? • Exit strategy (procedures and agreements defined for sustaining the program results in the future)	• Progress reports on projects • UN staff • Development partners • Government partners	• Desk reviews of secondary data • Interviews of Government partners, Development partners, UN staff, civil society partners, associations,

• To what extend has a sustainability strategy, including capacity development of key national and sub-region al stakeholders been developed or implemented? • To what extent are policy and regulatory frameworks in place that will support the continuation of benefits?	- Political factors (support from national authorities) - Financial factors (available budgets) - Technical factors (skills and expertise needed) • How has UNDP approached the scaling up of successful pilot initiatives and catalytic projects? • Have donors stepped in to scale up initiatives?	• Unanticipated sustainability threats emerged during implementation • Actions have been taken to scale up the projects		and federations • Field visits to selected projects

3. STAKEHOLDERS MAP

The main stakeholders identified for this evaluation at the different levels include but are not limited to the following:

Sub Regional Level
- UNDP Staff, Sub Regional Office, Barbados
- OECS ~~Secretariat~~, Commission Programme Unit
- Regional Programme managers
- Other development assistance agencies in respective thematic/Programme areas
- Regional Civil Society Groups

At the country Level
- Key national and regional partners
- Project consultants
- Direct and indirect beneficiaries
- Donors in the sector
- Civil society groups, NGOs
- Steering Committee members

4. EVALUATION TOOLS

Evaluation tools will be used in order to collect primary and secondary data, to analyze data, and to formulate value judgments. Tools may vary from simple and usual ones like database extracts, documentary analysis, interviews or field visits, to more technical ones like focus groups, or cost benefit analysis. The proposed methodology aims for an appropriate mix of tools that strengthens the evidence basis of the evaluation and the credibility of its conclusions, given the time frame by the ToR.

Survey

A survey is an observation tool which quantifies and compares information. Data are collected from a sample of the population targeted by the evaluation. A survey questionnaire is a schedule of questions collecting information needed for the evaluation. Respondents are not supposed to answer the essential issue under investigation: in a good questionnaire, questions derive from the evaluation questions and are sufficiently basic for the respondent to answer them.

Questionnaires often combine both types, with a preference for structured items and a few open-ended questions (yielding information which is more diverse and/or precise, but less amenable to statistical analysis).

For this evaluation there are internet tools like Survey Monkey that could be used with different actors (with Internet access) in all the focused countries.

Structured questionnaires

Structured items are questions which respondents must answer in a specific way by choosing from a limited and predetermined set of answers. The questionnaire format is designed to obtain information about facts, to find out whether respondents agree to a suggestion, to record their opinions on a set of assertions, etc.

Open-ended questionnaires

In open-ended questionnaires, respondents answer a precise question and interviewers take notes. Thus, open-ended questionnaires are similar to structured interviews, as open-ended items allow a variety of approaches and depth in response.

Structured questionnaires have the advantage of allowing a cost-effective statistical analysis. Yet, they can be unforgiving during times when the evaluator needs to refine some questions. Through a daily check with the interviewers, the evaluator can decide to develop or add questions during the interviews, with a view to undertake a more precise analysis.

Interview

The interview is an information collection tool which usually takes the shape of a face-to-face discussion between the evaluator and the interviewee. In evaluation, the use of interviews is simple, quick, and affordable, which makes its use inevitable.

In evaluation, the interview collects different kind of information:

- Facts and information for the verification of facts

- Opinions and perspectives

- Analyses

- Suggestions

- Reactions to the evaluator's hypotheses and conclusions

The interview may be used as a quantitative collection tool; however, it is mostly a qualitative device. Information, including facts that can be checked, points of view, analyses and opinions should be clearly distinguished. Three types of interviews can be carried out:

Unstructured interviews

The interviewee expresses himself/herself freely and can discuss unplanned topics, because there is no predetermined set of questions. The evaluator intervenes only to generate and develop questions relating to the interviewee's comments.

Semi-structured interviews

This type of interviews collects the respondents' testimonies using an interview guideline (flexible framework of topics derived from the evaluation questions). The evaluator modifies the interview guide's instructions with additional questions, in order to develop useful areas of inquiry during the interview.

This type of interview is the most frequently used, particularly when the evaluator knows sufficient about the aims and the main questions to pose during the evaluation.

Structured interviews

The evaluator follows strictly the interview guideline instructions. He/She asks different interviewees the same set of questions and the interviewee is not given the opportunity to express himself/herself freely. The evaluator avoids generating and developing additional questions. Answers to each question tend to be short.

Case study

Case study reviews of one or more actual examples, can be carried out in order to gain an in-depth knowledge of the topic and, if possible, to learn about the framework programme and the entire initiative.

Case studies are the preferred evaluation tool when "how" and "why" questions are being posed, they allow a detailed examination of the actual elements in line with the evaluation goals. The purpose of the case study is to provide a picture, which is often more reliable than the outputs from other tools in context of the scarcity of basic data.

If case studies include the analysis of documents, statistical and implementing data, they are mostly known as a field observation tool and a means to interview people directly involved in the programme, such as the officials and stakeholders.

Focus group

A focus group is a form of group interviewing which comprises individuals involved in a development policy or intervention. It is set up to get information concerning the people's opinions, behaviours, or to explain their

expectations from the said policy or intervention. In that sense, a focus group is a fast result-driven qualitative survey.

The focus group is useful in evaluations of projects or programmes, and particularly for field studies with beneficiaries and intermediary stakeholders. When a focus group is organised after the implementation of a programme with a view to assess its impact, it helps understanding, analysing and identifying the reasons beneath the opinions expressed by the participants.

The focus group is a mean to collect information and points of view quickly. When it involves stakeholders with different points of views, it eases the expression and explanation of the discrepancies within those points of view, as well as enabling an in-depth study of the stakeholders' opinions. They could be useful to gather information at the local but mostly at the national level on the ART initiative.

SWOT (Strengths, Weakness, Opportunities, Threats)

SWOT analysis (Strengths - Weaknesses - Opportunities - Threats) is a strategy analysis tool. It combines the study of the strengths and weaknesses of an organization, a geographical area, or a sector, with the study of the opportunities and threats to their environment. As such, it is instrumental in development strategy formulation.

The aim of the analysis is to take into account internal and external factors, maximizing the potential of strengths and opportunities, while minimizing the impact of weaknesses and threats.

SWOT analysis is usually prepared through meetings with the stakeholders or experts concerned with the strategy. It can be used to identify possible strategic approaches. Although originally designed for planning, this tool is used in evaluation to ensure that the implemented strategy is appropriate to the situation described in the analysis. Thus, it may either be used for intermediary evaluations, in order to check the relevance of the interventions under evaluation, and if required, their coherence.

5. ONLINE SURVEY QUESTIONS (SUGGESTED)

1. The organization you work for is: UN agency, international aid other than UN, government, civil society
2. The UNDP allowed the participation from different actors or stakeholders? In your opinion the Subregional programme (specific project) is: very participative, participative, non-participative, non-participative at all.
3. The communication between the stakeholders and UNDP was satisfactory?
4. In your own words, what was the added value from the UNDP?
5. Were the outputs produced by the project of high quality and effective? (agree or disagree)
6. Are the products delivered by the project adapted to country needs? How?
7. Have the products/services delivered been successfully used, expanded or replicated by the beneficiary (since project completion)?
8. Name the main good practices or success stories from the program (please describe). Were these experiences shared with other countries?
9. The UNDP transferred technical capacities to partners at the subregional and national levels?
10. In your opinion:
    o what were the three main Program strengths
    o What were the three main Program flaws or short-comings?
11. What suggestions/recommendations would you make to UNDP for greater effectiveness/impact
    o

6. STRUCTURE OF EVALUATION REPORT

The evaluation report will consist of four Chapters and a maximum of 30-40 pages. It will have the following format.

Executive Summary

Chapter 1: Introduction - (Background and approach/methodology, Evaluation Scope and Objectives, Evaluation Criteria, Evaluation Approach and Methods)

Chapter 2: The Development Challenge

Chapter 3: UNDP Response and Challenges

Chapter 4: Evaluation findings (Contribution to Results) including in-depth analysis of the situation with regard to the outcomes and development results based on the following criteria
  4.1 Relevance
  4.2 Effectiveness
  4.3 Efficiency
  4.4 Sustainability

Chapter 5: Conclusions and Recommendations

  5.1 Conclusions
  5.2 Recommendations

Chapter 6: Lessons learned and best practices identified

Annexes: list of people consulted, documents reviewed, field visit agenda

7. REFERENCE DOCUMENTS

The list of document to be consulted includes but is not necessarily limited to the following:

- National Development Plans - national priorities from Barbados and SIDS United Nations Development Assistance Framework (UNDAF) 2012 to 2016
- Subregional Programme Document for Barbados and the Organisation of Eastern Caribbean States (2012 to 2016)
- Multi-Country Programme Action Plan between the Governments of Barbados and the OECS & UNDP (2012 to 2016)
- The 2014 to 2017 UNDP Strategic Plan
- The 2014 to 2017 UNDP Gender Strategy
- The 2014 to 2017 UNDP Youth Strategy
- Results Oriented Annual Report (2011, 2012, 2013)
- The Project Documents, Project AWPs and quarterly and annual reports of the projects
- Key products produced or supported by the outcome interventions
- Project Evaluation Reports
- UNDP Evaluation Report Template
- UN Evaluation Norms and Standards
- UNDP Handbook on Planning, Monitoring and Evaluation for Results

8. Project List

Climate Change and Disaster Risk Resilience		
00085959	Federal Ministry for the Environment, Nature Conservation & Nuclear Safety (BMU) Programme on integrated Adaptation Strategies in Grenada UNDP/GIZ	**3,259,167**
00086915	DIPECHO-Community Alert Integrated (DIM EXP DEC 2014)	**655,320**
00087426	Strengthening Capacity in Post Disaster Needs Assessment UNISDR	**441,750**
00087427	Strengthening Public Investment in DRR & Climate Change UNISDR	**779,420**
00087550	Strengthening DRR in St. Vincent & the Grenadines	**50,000**
00088792	Eastern Caribbean Recovery (DIM EXP DEC 2014)	**120,000**
00089776	Caribbean Tsunami Information Center UNESCO	**626,400**

Energy and Environment		
00087071	AUS-SIDS climate Change Negotiations	**739,626.87**
00085597	Conserving Biodiversity & Reducing Habitat Degradation-St Kitts	**64,000**
00085646	Grenada Ridge to Reef IP	**100,000**
00086194	Promoting Access to Clean Energy-St Vincent IP	**92,890**
00087225	Solar Photovoltaic Systems in Public Buildings IP	**100,000**
00087492	Preparation for 2014 SIDS Conference	**65,000**
00090390	Caribbean Community Lighting Project	**1,070,000**
00091426	National Biodiversity Planning to Support the implementation of the CBD 2011-2020 Strategic Plan in Antigua and Barbuda	**136,000**
00087221	Green City: Promoting small island integrated urban development in Portsmouth DMI	**100,000**
00087223	Low Carbon Development Path: Supporting the Sustainability and maintenance of Ecosystem Integrity, health and Function DMI	**100,000**

	Sustainable Human Development and Inclusive Governance	
00064116	Youth Innovation Caribbean Network for Youth (DIM EXP DEC 2014)	**3,576,983**
00075559	Caribbean Human Development Report Citizen Security	**183,344**
00082501	Engaging Caribbean Youth on Citizen Security (DIM EXP DEC 2014)	**175,000**
00045318	Strengthening Poverty and Social Sector Development in the OECS	**100,000**
00085797	A Future for SIDS: St. Lucia Post 2015	**50,000/10,000/25,000**
00086185	Strengthening Capacity to Monitor Human Development	**50,000**
00086740	Poverty Reduction& Empowerment for Sustainable Livelihoods-Dominica	**50,000**
	MDG Acceleration in Grenada-SEED	**50,000**
	Supporting Multidimensional Poverty Measurement and Strengthening Capacity of Statistical Office-Antigua	**23,000**
	Supporting Multidimensional Poverty Measurement and Strengthening Capacity of Statistical Office-St. Lucia	**46,000**
	The MDG Assessment Framework for Barbados	**45,000**
	Supporting Multi-dimensional Approaches to Poverty Eradication in Anguilla, Montserrat and the British Virgin Islands	**500,000**
	Regional Strategy on Statistics for the OECS	**400,000**