



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE

Independent terminal evaluation of

**Reducing greenhouse gas and ODS Emissions through technology transfer in
industrial refrigeration**

UNIDO Project ID: 120621

GEF Project ID: 5464

July 2017

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I. PROJECT BACKGROUND AND CONTEXT

1. Project factsheet¹

Project title	Reducing greenhouse gas and ODS Emissions through technology transfer in industrial refrigeration
UNIDO Project ID	120621
GEF Project ID	5464
Region	Asia
Country(ies)	Viet Nam
Project donor(s)	GEF
Project implementation start date	7/1/2013
Expected duration	36 months
Expected implementation end date	31 December 2017
GEF Focal Areas and Operational Project	Climate Change
Implementing agency(ies)	UNIDO
Executing partners	MONRE, MARD, Cleaner Production Centre
UNIDO RBM code	
Donor funding	210,000 USD
Project GEF CEO endorsement / approval date	6/6/2013
UNIDO input (in kind and cash, USD)	245,000
Co-financing at CEO Endorsement, as applicable	1,855,000
Total project cost (USD)	2,145,000
Mid-term review date	As the project was a Medium-size Project (MSP), a mid-term evaluation/review was not conducted.
Planned terminal evaluation date	11/10/2017

(Source: Project document)

2. Project context

Viet Nam consumes HCFC-22 for servicing and maintenance purposes. The project focuses on synergies between the UNFCCC and the Montreal Protocol and aims at reducing ODS emissions. To reach this objective, the project uses a synergistic combination of technical assistance on policy and regulation, technology transfer, capacity building and awareness-raising.

The initiatives developed under this project help inform companies worldwide who face the common problem of having to procure future-proof plants that such plants are affordable to run. Instilling

¹ Data to be validated by the Consultant

knowledge of new technologies through this project should contribute to preparing the cold storage industry in Viet Nam to select the best technologies in the conversion away from HCFC-22.

Equipment upgrades aim at greatly reducing the emission of ozone depleting substances (ODS) and greenhouse gases by replacing HCFC-22 with non-ODS refrigerants with very low global warming potentials. The demonstration projects are meant to serve as pilots for the conversion of other cold storage facilities in Viet Nam and elsewhere in both the choice of technology and project parameters. Hence, from the point of view of the GEF and UNIDO, the project can be seen as an initial step that can be used to inform the possible development of large scale-up projects for Stage II of the HPMP (period 2015-2020) and the GEF 6.

The key barriers to promoting energy efficiency in the cold storage sector in Viet Nam, while using chemicals with lower global warming potential (GWP) and minimizing the use of chemicals damaging to the ozone layer, include an overall lack of policy and regulatory incentives to move away from HCFC-22 prior to 2040 and a lack of policies and measures for refrigeration emission control; lack of awareness of the potential savings of energy efficiency and of the available technologies; lack of tools and technical capacities for repairing and maintaining technologies other than the existing ones; refrigerants other than HCFC-22 require new systems that are comparatively costly, in addition to toxicity and flammability risks; financial barriers, e.g. low cost of HCFC-22 at present in the market compared to its alternatives and high cost of conversions to new equipment using low GWP refrigerants, particularly when compared to the cost of conversion to the extremely high GWP HFCs which are the standard HCFC-22 replacement.

3. Project objective

The overall objective is to reduce greenhouse gas emissions by creating an enabling environment for the use of hydrocarbon refrigerants (with a very low GWP) in cold storage facilities in Viet Nam that currently use HCFC-22 for servicing and maintenance purposes.

The project includes three components with three outcomes:

Project component 1 - Policy and Regulatory Support

- Outcome 1: Policy, regulatory and legal measures are adopted by the government to support the adoption of low global-warming potential and energy efficient technology.

Project components 2 - Technology Transfer

- Outcome 2: Technology with low global-warming potential (hydrocarbon system) is demonstrated, replicated and deployed.

Project component 3 - Awareness Raising

- Outcome 3: Demand for low-GWP refrigerant systems that are more energy efficient than existing technologies is increased.

The Project is further structured into a total of eight outputs as illustrated in following figure. The full logical framework is included as annex 1.

4. Project implementation arrangements

The project is coordinated through a two tiered system, consisting of a Project Steering Committee (PSC) and a Project Management Unit (PMU).

Project Steering Committee

The Project Steering Committee (PSC) is composed by the representatives of the main Government stakeholders and UNIDO. It is responsible for providing overall guidance and making policy decisions for the project, e.g. reviewing project plans, providing advice on strategic approaches and solutions to ensure that project objectives are achieved; ensuring required resources are committed; arbitrate any conflicts within the project and negotiate a solution to any problems with external bodies.

The PSC is chaired by MONRE, and meets annually. At its meetings it considers the Annual Work Plan presented by the Project Director, give guidance and suggestions for its improvement and approve the final version.

The PSC includes representatives from the Cleaner Production Centre, MONRE, MOIT, MARD and the Ministry of Science and Technology. The PSC, on a need basis, can decide to invite other stakeholders (e.g. regulators, industry actors, research institutes, etc.) while taking care that the PSC remains operational by its size. Coordination with other initiatives in Viet Nam is facilitated by involvement of stakeholders from those initiatives in the PSC.

The Project Coordinator, representing MONRE, is the Convener Secretary of the PSC.

Project Management Unit (PMU)

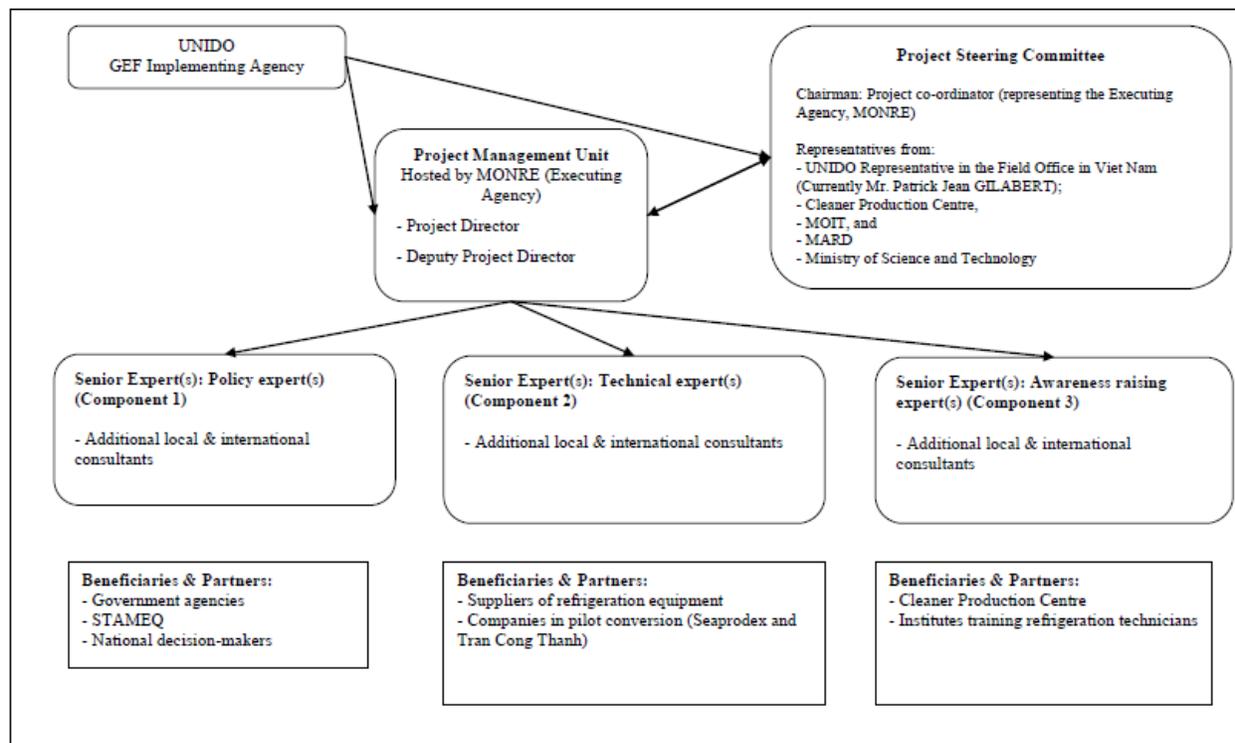
The PMU consists of a Project Director (PD), supported by a Deputy Project Director and an Administrative Assistant. The Project Director is field extension of the Management Unit and leads the PMU. The Director is responsible for executing the work programme and the day-to-day management, monitoring and evaluation of project activities as per the approved Annual Work Plan (AWP).

All field staff are hired as per UNIDO recruitment rules. The PMU is hosted at the National Ozone Unit, Viet Nam. During the entire implementation period of the project, UNIDO provides the PMU with the necessary management and monitoring support.

The PD prepares the AWP, as per UNIDO rules and regulations, and presents it for consideration to the PSC one month before the end of every calendar year. Based on the approved AWP, quarterly plans are prepared by the PD and accordingly executed by the Project Management Unit (PMU).

The PMU is responsible for the overall operational and financial management in accordance with rules and regulations imposed by UNIDO/GEF for directly executed projects. It prepares progress reports, financial reports etc. which are submitted to UNIDO-HQ and the PSC. It produces annual progress reports, at least two weeks before the annual meetings. At the end of the project, the PMU will produce the terminal report, which is to be submitted to the Project Steering Committee at least two weeks before the Terminal meeting.

The overall project management structure is outlined in the diagram below.



*UNIDO representative from Field Office in Viet Nam is Ms. Thi Thanh Thao LE as of April 2017.

Stakeholders

Key stakeholders are the following:

- Ministry of Natural Resources and Environment (MONRE): National Focal Point for the UNFCCC and the Kyoto Protocol. The National Ozone Unit (NOU) is a stakeholder in this project in view of the focus of this project on synergies between the UNFCCC and the Montreal Protocol.
- Participating enterprises in which pilot conversions of cold storage facilities are being developed:
 - Seaprodex Hai Phong² (HaiPhong Factory for Transfer Aquatic for Export), specializes in producing and processing agricultural and aquatic products and food for export and for domestic consumption. It has 22 employees and about 5,2 billion VND gross annual revenue.
 - Tran Cong Thanh cold storage, Thach Bich Village – Bich Hoa Commune – Thanh Oai Dist. - Hanoi. Privately owned. Five employees, about 4,5 billion VND annual gross revenue.
- Ministry of Industry and Trade (MOIT): runs the National Energy Efficiency Programme (VNEEP). The MOIT was formed after the merger of the Ministry of Industry and the Ministry of Trade. MOIT is in charge of activities related to the energy sector and other industries, in accordance with Decree 189/2007/ND-CP issued by the Prime Minister on 27 December 2007. MOIT is in charge of the formulation of law, policies, development strategies, master plans and annual plans for the sectors under its remit, and submits them to the Prime Minister for approval.

² Seaprodex (Vietnam National Seaproducts Corporation) is majority owned by the Vietnamese government. The cold store in Hai Phong is run as an independent entity; however, major decisions have to be made at the headquarters in Hanoi.

- The Department of Processing and Trade for Agro-Forestry-Fisheries Products and Salt Production, Ministry of Agriculture and Rural Development (MARD) is a project implementing partner due to its role in the fish processing sector.
- Viet Nam HPMP PMU (set up by the NOU).
- STAMEQ as advisor on standards on industrial refrigeration.
- Vietnam Community of Heating, Ventilating, Air Conditioning & Refrigeration Engineers.
- Vietnam Society of Refrigeration and Air Conditioning (VSRAE) (landhkk.com.vn).
- Vietnam Association of Seafood Processing and Export: This association, together with the Vietnam Fisheries Association, cooperated with MARD to propose policy mechanisms and measures to encourage organizations and individuals to reorganize their production to ensure production efficiency, particularly of better design of commercial cold storage facilities to increase efficiency. These proposals were developed in the context of the Prime Minister's Decision on the approval of the Strategy of Vietnam's Fisheries Development for the Period 2011 – 2020 (No. 1690/QD-TTg).
- Cleaner Production Centre: located at the Hanoi University of Technology, under its host organization: Institute for Environmental Science and Technology, INEST.

5. Budget information

Table 1. Financing plan summary

\$	<i>Project Preparation</i>	<i>Project</i>	<i>Total (\$)</i>
Financing (GEF / others)	45T	290,000	290,000
Co-financing (Cash and In-kind)	Click here to enter text.	1,855,000	1,855,000
Total (\$)	200,000*	2,145,000	2,145,000

Source: Project document / progress report

*The project preparation was supported by the MP Multilateral Fund for 3 countries, Viet Nam, Gambia and Morocco for USD200,000 exc sc .

Table 2. Financing plan summary - Outcome breakdown³

Project outcomes	Donor (GEF/other) (\$)	Co-Financing (\$)	Total (\$)
1. Policy, regulatory and legal measures are adopted by the government to support the adoption of low global-warming potential and energy efficient technology.	54000	130000	184,000
2. Technology with low global-warming potential (hydrocarbon	152000	1190000	1,342,000

³ Source: Project document.

Project outcomes	Donor (GEF/other) (\$)	Co-Financing (\$)	Total (\$)
system) is demonstrated, replicated and deployed			
3. Demand for low-GWP refrigerant systems that are more energy efficient than existing technologies is increased	69000	360000	429,000
Project management structure and project M&E mechanism	15000	175000	190,000
Total (\$)	290,000	1,855,000	2,145,000

Source: CEO endorsement document

Table 3. Co-Financing source breakdown

Name of Co-financier (source)	Classification	Type	Total Amount (\$)
UNIDO	Implementing Agency	In kind	35,000
UNIDO	Implementing Agency	Cash	210,000
Government of VN	Counterpart	Cash	80,000
Government of VN	Counterpart	In kind	120,000
Shecco (Marketing & Communication experts)	Counterpart	In kind	310,000
Zanotti (Technology supplier)	Counterpart	Cash	50,000
Technology suppliers (TA)	Counterpart	Cash	150,000
Vietnam Environmental Protection Fund	Counterpart	Soft loan	900,000
Total Co-financing (\$)			1,855,000

Source : CEO endorsement document

Table 4. UNIDO budget execution (4000376 XP and 2000002517 GEF Grants)

Item	2014	2015	2016	2017	Total Expenditures (USD)
Contractual Services	28,458	110,822	2,417	-	141,697
Equipment	-	7,677	-	-	7,677
International Meetings	-	-	-	-	-
Local travel	6,366	9,987	4,760	995	22,108
Nat.Consult./Staff	14,252	33,691	29,897	27,054	104,892
Other Direct Costs	1,334	5,794	1,026	-	8,153
Staff & Intern Consultants	6,443	10,869	17,246	-	34,558
Staff Travel	240	6,036	5,381	-	11,657
Train/Fellowship/Study	7,361	(1,281)	47,195	-	53,275
Total	64,453	183,593	107,922	28,048	384,016*

* Expenditures recorded under XP grant were converted to USD by using the current UN exchange rate, July 2017

Source: SAP database

II. Scope and purpose of the evaluation

The terminal evaluation (TE) will cover the whole duration of the project from its starting date in 7/1/2013 to the estimated completion date in 31/12/2017. It will assess project performance against the evaluation criteria: relevance, effectiveness, efficiency, sustainability and impact.

The TE has an additional purpose of drawing lessons and developing recommendations for UNIDO and the GEF that may help for improving the selection, enhancing the design and implementation of similar future projects and activities in the country and on a global scale upon project completion. The TE report should include examples of good practices for other projects in the focal area, country, or region.

The TE should provide an analysis of the attainment of the project objective and the corresponding technical outputs and outcomes. Through its assessments, the Evaluation Team (ET) should enable the Government, counterparts, UNIDO and the GEF and other stakeholders and donors to verify prospects for development impact and sustainability, providing an analysis of the attainment of global environmental objectives, project objectives, delivery and completion of project outputs/activities, and outcomes/impacts based on indicators. The assessment shall include re-examination of the relevance of the objectives and other elements of project design according to the project evaluation parameters defined in chapter VI.

The key question of the TE is whether the project has achieved or is likely to achieve its main objective, i.e. to reduce greenhouse gas emissions by creating an enabling environment for the use of hydrocarbon refrigerants (with a very low GWP) in cold storage facilities in Viet Nam that currently use HCFC-22 for servicing and maintenance purposes.

The evaluation has three specific objectives:

- (i) Assess the project performance in terms of relevance, effectiveness, efficiency, sustainability and progress to impact;
- (ii) Identify key learning to feed into the design and implementation of the forthcoming projects; and
- (iii) Develop a series of findings, lessons and recommendations for enhancing the design of new and implementation of ongoing projects by UNIDO.

III. Evaluation approach and methodology

The TE will be conducted in accordance with the UNIDO Evaluation Policy⁴ and the UNIDO Guidelines for the Technical Cooperation Project and Project Cycle⁵. In addition, the GEF Guidelines for GEF Agencies in Conducting Terminal Evaluations, the GEF Monitoring and Evaluation Policy and the GEF Minimum Fiduciary Standards for GEF Implementing and Executing Agencies.

The evaluation will be carried out as an independent in-depth evaluation using a participatory approach whereby all key parties associated with the project will be informed and consulted throughout the evaluation. The evaluation team leader will liaise with the UNIDO Independent Evaluation Division (ODG/EVQ/IEV) on the conduct of the evaluation and methodological issues.

In line with its objectives, the evaluation will have two main components. The first component focuses on an overall **assessment of performance** of the project, whereas the second one focuses on the **learning** from the successful and unsuccessful practices in project design and implementation.

The evaluation will use a theory of change approach and mixed methods to collect data and information from a range of sources and informants. It will pay attention to triangulating the data and information collected before forming its assessment. This is essential to ensure an evidence-based and credible evaluation, with robust analytical underpinning.

The theory of change will identify causal and transformational pathways from the project outputs to outcomes and longer-term impacts, and drivers as well as barriers to achieve them. The learning from this analysis will be useful to feed into the design of the future projects so that the management team can effectively manage them based on results.

1. Data collection methods

The main instruments for data collection are the following:

- (a) **Desk and literature review** of documents related to the project, including but not limited to:
 - The original project document, monitoring reports (such as progress and financial reports, mid-term review report, output reports, back-to-office mission report(s), end-of-contract report(s) and relevant correspondence.
 - Notes from the meetings of committees involved in the project.
- (b) **Stakeholder consultations** will be conducted through structured and semi-structured interviews and focus group discussion. Key stakeholders to be interviewed include:
 - UNIDO Management and staff involved in the project; and
 - Representatives of donors and counterparts.
- (c) **Field visit** to Viet Nam.

⁴ UNIDO. (2015). Director General's Bulletin: Evaluation Policy (UNIDO/DGB/(M).98/Rev.1)

⁵ UNIDO. (2006). Director-General's Administrative Instruction No. 17/Rev.1: Guidelines for the Technical Cooperation Programme and Project Cycle (DGAI.17/Rev.1, 24 August 2006)

2. Evaluation key questions and criteria

The key evaluation questions are the following:

- (a) What are the key drivers and barriers to achieve the long term objectives? To what extent has the project helped put in place the conditions likely to address the drivers, overcome barriers and contribute to the long term objectives?
- (b) How well has the project performed? Has the project done the right things? Has the project done things right, with good value for money?
- (c) What have been the project's key results (outputs, outcome and impact)? To what extent have the expected results been achieved or are likely to be achieved? To what extent the achieved results will sustain after the completion of the project?
- (d) What lessons can be drawn from the successful and unsuccessful practices in designing, implementing and managing the project?

The evaluation will assess the likelihood of sustainability of the project results after the project completion. The assessment will identify key risks (e.g. in terms of financial, socio-political, institutional and environmental risks) and explain how these risks may affect the continuation of results after the project ends. Table 5 below provides the key evaluation criteria to be assessed by the evaluation. The details questions to assess each evaluation criterion are in annex 2.

Table 5. Project evaluation criteria

#	Evaluation criteria	Mandatory rating
A	Impact	Yes
B	Project design	Yes
1	• Overall design	Yes
2	• Logframe	Yes
C	Project performance	Yes
1	• Relevance	Yes
2	• Effectiveness	Yes
3	• Efficiency	Yes
4	• Sustainability of benefits	Yes
D	Cross-cutting performance criteria	
1	• Gender mainstreaming	Yes
2	• M&E: ✓ M&E design ✓ M&E implementation	Yes
3	• Results-based Management (RBM)	Yes
E	Performance of partners	
1	• UNIDO	Yes
2	• National counterparts	Yes
3	• Donor	Yes
F	Overall assessment	Yes

3. Rating system

In line with the practice adopted by many development agencies, the UNIDO Independent Evaluation Division uses a six-point rating system, where 6 is the highest score (highly satisfactory) and 1 is the lowest (highly unsatisfactory) as per Table 6.

IV. Evaluation process

The evaluation will be conducted from August to September 2017. The evaluation will be implemented in five phases which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

- i. Inception phase: The evaluation team will prepare the inception report providing details on the methodology for the evaluation and include an evaluation matrix with specific issues for the evaluation;
- ii. Desk review and data analysis;
- iii. Interviews, survey and literature review;
- iv. Country visit;
- v. Data analysis and report writing.

Table 6. Project rating criteria

Score		Definition	Category
6	Highly satisfactory	Level of achievement clearly exceeds expectations and there is no shortcoming.	SATISFACTORY
5	Satisfactory	Level of achievement meets expectations (indicatively, over 80-95 per cent) and there is no or minor shortcoming.	
4	Moderately satisfactory	Level of achievement more or less meets expectations (indicatively, 60 to 80 per cent) and there are some shortcomings.	
3	Moderately unsatisfactory	Level of achievement is somewhat lower than expected (indicatively, less than 60 per cent) and there are significant shortcomings.	UNSATISFACTORY
2	Unsatisfactory	Level of achievement is substantially lower than expected and there are major shortcomings.	
1	Highly unsatisfactory	Level of achievement is negligible and there are severe shortcomings.	

V. Time schedule and deliverables

The evaluation is scheduled to take place from 8/14/2017 to 9/29/2017. The evaluation field mission is tentatively planned for 9/11/2017 to 9/17/2017. At the end of the field mission, there will be a presentation of the preliminary findings for all stakeholders involved in this project in Viet Nam.

After the evaluation field mission, the evaluation team leader will visit UNIDO HQ for debriefing and presentation of the preliminary findings of the terminal evaluation. The draft TE report will be submitted 4 to 6 weeks after the end of the mission. The draft TE report is to be shared with the UNIDO PM,

UNIDO ODG/EVQ/IEV, the UNIDO GEF Coordinator and GEF OFF AND other stakeholders for receipt of comments. The ET leader is expected to revise the draft TE report based on the comments received, edit the language and form and submit the final version of the TE report in accordance with UNIDO Independent Evaluation Division (ODG/EVQ/IEV) standards.

Timelines	Tasks
14 -31 August 2017	Desk review and writing of inception report
11 –17 September 2017	Field visit to Viet Nam
18-20 September 2017	Debriefing and presentation of preliminary findings and recommendations
20- 25 September 2017	Preparation of first draft evaluation report
25-26 September 2017	Internal peer review of the report by the Independent Evaluation Division / stakeholder comments to draft evaluation report
30 September 2017	Final evaluation report

VI. Evaluation team composition

The evaluation team will be composed of one international evaluation consultant acting as the team leader and one national evaluation consultant. The evaluation team members will possess relevant strong experience and skills on evaluation management and conduct together with expertise and experience in the use of hydrocarbons with very low global warming potential (GWP). Both consultants will be contracted by UNIDO.

The tasks of each team member are specified in the job descriptions annexed to these terms of reference. The ET is required to provide information relevant for follow-up studies, including terminal evaluation verification on request to the GEF partnership up to three years after completion of the terminal evaluation.

According to UNIDO Evaluation Policy, members of the evaluation team must not have been directly involved in the design and/or implementation of the project under evaluation.

The project team in Viet Nam will support the evaluation team. The UNIDO GEF Coordinator and GEF OFF(s) will be briefed on the evaluation and provide support to its conduct. GEF OFF(s) will, where applicable and feasible, also be briefed and debriefed at the start and end of the evaluation mission.

An evaluation manager from UNIDO Independent Evaluation Division (IEV) will provide technical backstopping to the evaluation team and ensure the quality of the evaluation. The UNIDO Project Manager and national project teams will act as resourced persons and provide support to the evaluation team and the evaluation manager.

VII. Reporting

Inception report

This Terms of Reference (ToR) provides some information on the evaluation methodology, but this should not be regarded as exhaustive. After reviewing the project documentation and initial interviews with the project manager, the International Evaluation Consultant will prepare, in collaboration with the national consultant, a short inception report that will operationalize the ToR relating to the evaluation questions and provide information on what type of and how the evidence will be collected (methodology). It will be discussed with and approved by the responsible UNIDO Evaluation Manager.

The Inception Report will focus on the following elements: preliminary project theory model(s); elaboration of evaluation methodology including quantitative and qualitative approaches through an evaluation framework (“evaluation matrix”); division of work between the International Evaluation Consultant and national consultant; mission plan, including places to be visited, people to be interviewed and possible surveys to be conducted and a debriefing and reporting timetable⁶.

Evaluation report format and review procedures

The draft report will be delivered to UNIDO Independent Evaluation Division (ODG/EVQ/IEV) (the suggested report outline is provided in Annex 4) and circulated to UNIDO staff and national stakeholders associated with the project for factual validation and comments. Any comments or responses, or feedback on any errors of fact to the draft report provided by the stakeholders will be sent to UNIDO Independent Evaluation Division (ODG/EVQ/IEV) for collation and onward transmission to the project evaluation team who will be advised of any necessary revisions. On the basis of this feedback, and taking into consideration the comments received, the evaluation team will prepare the final version of the terminal evaluation report.

The ET will present its preliminary findings to the local stakeholders at the end of the field visit and take into account their feed-back in preparing the evaluation report. A presentation of preliminary findings will take place at UNIDO HQ after the field mission.

The TE report should be brief, to the point and easy to understand. It must explain the purpose of the evaluation, exactly what was evaluated, and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should provide information on when the evaluation took place, the places visited, who was involved and be presented in a way that makes the information accessible and comprehensible. The report should include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

Findings, conclusions and recommendations should be presented in a complete, logical and balanced manner. The evaluation report shall be written in English and follow the outline given in Annex 4.

⁶ The evaluator will be provided with a Guide on how to prepare an evaluation inception report prepared by the UNIDO Office for Independent Evaluation.

VIII. Quality assurance

All UNIDO evaluations are subject to quality assessments by the UNIDO Office for Independent Evaluation. Quality assurance and control is exercised in different ways throughout the evaluation process (briefing of consultants on methodology and process of UNIDO's Office for Independent Evaluation, providing inputs regarding findings, lessons learned and recommendations from other UNIDO evaluations, review of inception report and evaluation report by the Office for Independent Evaluation).

The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality, attached as Annex 5. The applied evaluation quality assessment criteria are used as a tool to provide structured feedback. UNIDO's Office for Independent Evaluation should ensure that the evaluation report is useful for UNIDO in terms of organizational learning (recommendations and lessons learned) and is compliant with UNIDO's evaluation policy and these terms of reference. The draft and final evaluation report are reviewed by UNIDO Office for Independent Evaluation, which will submit the final report to the GEF Evaluation Office and circulate it within UNIDO together with a management response sheet.

Annex 1: Project Logical Framework

Project Narrative	Indicator	Sources of Verification	
<p>Project Objective</p> <p>Reduction of greenhouse gas emission in the cold storage sector in Viet Nam.</p>	<p><i>Direct emission reduction: 9,000 tonnes of CO₂ equivalent</i> This is the result of emission reduction of 25,000 tonnes of CO₂ equivalent (with the elimination of HCFC-22, with global-warming potential of 1,810), minus the reduction of less than 16,000 tonnes CO₂eq. that would result from the use of HFC-404a.</p> <p><i>Indirect emission reduction:</i> GEF bottom-up methodology – Indirect emissions reduction of 100,000 tonnes of CO₂ equivalent through all the activities, or 38,000 tonnes when compared to replacement by R404. GEF top-down methodology – 115,000 tonnes of CO₂ equivalent through all the activities, or 64,000 tonnes when compared to replacement by R404.</p>	<p>Reports from MONRE during and after the duration of the project.</p>	
Component 1: Policy and Regulatory Support			
Outcome	Indicator	Sources of Verification	Assumptions/Risks (see section A.4)
<p>Policy, regulatory and legal measures are adopted by the government to support the adoption of low global-warming potential and energy efficient technology.</p>	<p>Number of national policies changed or adopted in favour of the use of alternative technologies with low global-warming potential.</p>	<p>Public records such as government websites and publications in the national gazette.</p>	<p>Assumes no radical shifts in Government priorities.</p>
Outputs	Indicator	Sources of Verification	Assumptions/Risks (see section 4)
<p>1.1 Gap analysis carried out in the national policy, legal and</p>	<p>Availability of gap analysis report.</p>	<p>Project progress report</p>	<p>Continuous government support and participation.</p>

regulatory frameworks. 1.2 Relevant recommendations drafted into the national laws/regulations/guidance.	Number of laws/regulations/guidance (new or amended) in favour of low global-warming technologies promulgated.	UNIDO project progress report.	
Component 2: Technology Transfer			
Outcome	Indicator	Sources of Verification	Assumptions/Risks (see section 4)
Technology with low global-warming potential (hydrocarbon system) is demonstrated, replicated and deployed.	Up to 25,000 tonnes of CO2 emission reduced (vs. 16,000 if HFC-404a were used), by enterprise/facility Energy efficiency gain in percentage, by enterprise/facility Technicians of 12 enterprises/facilities reported that they can operate the new technology independently	Records of each enterprise/facility to the National Cleaner Production Centre Validation reports from MONRE Reports from the Viet Nam Environmental Protection Fund (VEPF).	The companies want and can proceed with the conversion process.
Outputs	Indicators	Sources of Verification	Assumptions/Risks (see section 4)
2.1 Two pilot demonstration conversions are carried out: 2 cold storage facilities converted from HCFC-22 use to hydrocarbon systems. 2.2 The demonstration conversions are replicated in up to 10 facilities.	Technology designs are available and demonstrated No of. technicians from each facility trained (disaggregated by gender) Monitoring of the results is continuous for minimum 12 months. Reduced emission of	Records of each enterprise/facility to MONRE Validation reports from MONRE Reports of the Viet Nam Environmental Protection Fund (VEPF).	The initial two pilot projects are successful. There is sufficient interest from private sector and trainee technicians. The companies are able to use and maintain the new technology. Trainees value the information provided

	greenhouse gases and improved energy efficiency are verified. Up to 900,000 USD from the Viet Nam Environmental Protection Fund will cover the costs from the new equipment in these 10 companies.	UNIDO project report.	and are able to use it in their day to day activities.
Component 3: Awareness raising			
Outcome	Indicators	Sources of Verification	Assumptions/Risks (see section 4)
Demand for low-GWP refrigerant systems that are more energy efficient than existing technologies is increased.	At least 20 firm inquiries indicating intent to use hydrocarbon refrigerants made to MONRE	Report from MONRE indicates their interest towards the technology.	Continuous support and participation from national authorities and companies.
Outputs	Indicators	Sources of Verification	Assumptions/Risks (see section 4)
3.1 Lessons learnt and information on technology solutions is disseminated to policy makers, companies, and technicians.	Written materials delivered to 50 policy-makers by month 18 (disaggregated by gender). Up to 10 bilateral meetings carried out by month 24. Up to 100 attendees at stakeholder meeting (disaggregated by gender) Training of technicians completed	Market survey at the end of the project: demand for replicating the technology in other sectors. Monitoring reports on events and activities.	Assumes the ability to gain media attraction on the issues. Continuous government support and participation.

Annex 2: Detailed questions to assess evaluation criteria

The evaluation team will assess the project performance guided by the questions below.

#	Evaluation criteria
A	<p>Progress to impact</p> <ul style="list-style-type: none"> ✓ <u>Mainstreaming</u>: To what extent information, lessons or specific results of the project are incorporated into broader stakeholder mandates and initiatives such as laws, policies, regulations and project? ✓ <u>Replication</u>: To what extent the project's specific results (e.g. methodology, technology, lessons, etc.) are reproduced or adopted ✓ <u>Scaling-up</u>: To what extent the project's initiatives and results are implemented at larger geographical scale? ✓ What difference has the project made to the beneficiaries? ✓ What is the change attributable to the project? To what extent? ✓ What are the social, economic, environmental and other effects, either short-, medium- or long-term, on a micro- or macro-level? ✓ What effects are intended or unintended, positive or negative? <p>The three UNIDO impact dimensions are:</p> <ul style="list-style-type: none"> ✓ <u>Safeguarding environment</u>: To what extent the project contributes to changes in the status of environment. ✓ <u>Economic performance</u>: To what extent the project contributes to changes in the economic performance (e.g. finances, income, costs saving, expenditure) of individuals, groups and entities? ✓ <u>Social inclusiveness</u>: To what extent the project contributes to changes in capacity and capability of individuals, groups and entities in society, such as employment, education, and training?
B	<p>Project design</p>
1	<ul style="list-style-type: none"> • <u>Overall design</u> ✓ The project design was adequate to address the problems at hand? ✓ Is the project consistent with the Country's priorities, in the work plan of the lead national counterpart? Does it meet the needs of the target group? Is it consistent with UNIDO's Inclusive and Sustainable Industrial Development? Does it adequately reflect lessons learnt from past projects? Is it in line with the donor's priorities and policies? ✓ Is the applied project approach sound and appropriate? Is the design technically feasible and based on best practices? Does UNIDO have in-house technical expertise and experience for this type of intervention? ✓ To what extent the project design (in terms of funding, institutional arrangement, implementation arrangements...) as foreseen in the project document still valid and relevant? ✓ Does the project document include a M&E plan? Does the M&E plan specify what, who and how frequent monitoring, review, evaluations and data collection will take place? Does it allocate budget for each exercise? Is the M&E budget adequately allocated and consistent with the logframe (especially indicators and sources of verification)? ✓ Risk management: Are critical risks related to financial, social-political, institutional, environmental and implementation aspects identified with

#	Evaluation criteria
	specific risk ratings? Are their mitigation measures identified? Where possible, are the mitigation measures included in project activities/outputs and monitored under the M&E plan?
2	<ul style="list-style-type: none"> • <u>Logframe</u> ✓ Expected results: Is the expected result-chain (impact, outcomes and outputs) clear and logical? Does impact describe a desired long-term benefit to a society or community (not as a mean or process), do outcomes describe change in target group's behaviour/performance or system/institutional performance, do outputs describe deliverables that project will produce to achieve outcomes? Are the expected results realistic, measurable and not a reformulation or summary of lower level results? Do outputs plus assumptions lead to outcomes, do outcomes plus assumptions lead to impact? Can all outputs be delivered by the project, are outcomes outside UNIDO's control but within its influence? ✓ Indicators: Do indicators describe and specify expected results (impact, outcomes and outputs) in terms of quantity, quality and time? Do indicators change at each level of results and independent from indicators at higher and lower levels? Do indicators not restate expected results and not cause them? Are indicators necessary and sufficient and do they provide enough triangulation (cross-checking)? Are they indicators sex-disaggregated, if applicable? ✓ Sources of verification: Are the sources of verification/data able to verify status of indicators, are they cost-effective and reliable? Are the sources of verification/data able to verify status of output and outcome indicators before project completion?
C	Project performance
1	<ul style="list-style-type: none"> • <u>Relevance</u> ✓ How does the project fulfil the urgent target group needs? ✓ To what extent is the project aligned with the development priorities of the country (national poverty reduction strategy, sector development strategy)? ✓ How does project reflect donor policies and priorities? ✓ Is the project a technically adequate solution to the development problem? Does it eliminate the cause of the problem? ✓ To what extent does the project correspond to UNIDO's comparative advantages? ✓ Are the original project objectives (expected results) still valid and pertinent to the target groups? If not, have they been revised? Are the revised objectives still valid in today's context?
2	<ul style="list-style-type: none"> • <u>Effectiveness</u> ✓ What are the main results (mainly outputs and outcomes) of the project? What have been the quantifiable results of the project? ✓ To what extent did the project achieve their objectives (outputs and outcomes), against the original/revised target(s)? ✓ What are the reasons for the achievement/non-achievement of the project objectives? ✓ What is the quality of the results? How do the stakeholders perceive them? What is the feedback of the beneficiaries and the stakeholders on the project effectiveness? ✓ To what extent is the identified progress result of the project rather than external factors? ✓ What can be done to make the project more effective? ✓ Were the right target groups reached?

#	<u>Evaluation criteria</u>
3	<ul style="list-style-type: none"> • <u>Efficiency</u> ✓ How economically are the project resources/inputs (concerning funding, expertise, time...) being used to produce results? ✓ To what extent were expected results achieved within the original budget? If no, please explain why. ✓ Are the results being achieved at an acceptable cost? Would alternative approaches accomplish the same results at less cost? ✓ What measures have been taken during planning and implementation to ensure that resources are efficiently used? Were the project expenditures in line with budgets? ✓ To what extent did the expected co-financing materialize, in cash or in-kind, grants or loan? Was co-financing administered by the project management or by some other organization? Did short fall in co-financing or materialization of greater than expected co-financing affected project results? ✓ Could more have been achieved with the same input? ✓ Could the same have been achieved with less input? ✓ How timely was the project in producing outputs and outcomes? Comment on the delay or acceleration of the project's implementation period. ✓ To what extent were the project's activities in line with the schedule of activities as defined by the Project Team and annual Work Plans? ✓ Have the inputs from the donor, UNIDO and Government/counterpart been provided as planned, and were they adequate to meet the requirements?
4	<ul style="list-style-type: none"> • <u>Sustainability of benefits</u> ✓ Will the project results and benefits be sustained after the end of donor funding? ✓ Does the project have an exit strategy? <p><i>Financial risks:</i></p> <ul style="list-style-type: none"> ✓ What is the likelihood of financial and economic resources not being available once the project ends? <p><i>Socio-political risks:</i></p> <ul style="list-style-type: none"> ✓ Are there any social or political risks that may jeopardize the sustainability of project outcomes? ✓ What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? ✓ Do the various key stakeholders see that it is in their interest that project benefits continue to flow? ✓ Is there sufficient public/stakeholder awareness in support of the project's long-term objectives? <p><i>Institutional framework and governance risks:</i></p> <ul style="list-style-type: none"> ✓ Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize the sustainability of project benefits? ✓ Are requisite systems for accountability and transparency and required technical know-how in place? <p><i>Environmental risks:</i></p> <ul style="list-style-type: none"> ✓ Are there any environmental risks that may jeopardize the sustainability of project outcomes? ✓ Are there any project outputs or higher level results that are likely to have adverse environmental impacts, which, in turn, might affect the sustainability of project benefits?

#	<u>Evaluation criteria</u>
5	<ul style="list-style-type: none"> • <u>Progress to impact</u> ✓ Is there any evidence of progress towards impact? ✓ To what extent do the key assumptions of the project's theory of change hold? ✓ Is there qualitative and quantitative evidence on environmental stress reduction (e.g. GHG emission reduction, reduction of waste discharge, etc.) and environmental status change? ✓ To what extent observed changes in capacities (awareness, knowledge, skills) or in infrastructure and legislation are attributable to the project?
D	Cross-cutting performance criteria
1	<ul style="list-style-type: none"> • <u>Gender mainstreaming</u> ✓ Did the project design adequately consider the gender dimensions in its interventions? Was the gender marker assigned correctly at entry? ✓ Was a gender analysis included in a baseline study or needs assessment (if any)? Were there gender-related project indicators? ✓ Are women/gender-focused groups, associations or gender units in partner organizations consulted/ included in the project? ✓ How gender-balanced was the composition of the project management team, the Steering Committee, experts and consultants and the beneficiaries? ✓ Do the results affect women and men differently? If so, why and how? How are the results likely to affect gender relations (e.g., division of labour, decision-making authority)? ✓ To what extent were socioeconomic benefits delivered by the project at the national and local levels, including consideration of gender dimensions?
2	<ul style="list-style-type: none"> • <u>M&E:</u> ✓ M&E design <ul style="list-style-type: none"> ○ Was the M&E plan at the point of project approval practical and sufficient? ○ Did it include baseline data and specify clear targets and appropriate indicators to track environmental, gender, and socio economic results? ○ Did it include a proper M&E methodological approach; specify practical organization and logistics of the M&E activities including schedule and responsibilities for data collection; ○ Did it include budget adequate funds for M&E activities? ✓ M&E implementation <ul style="list-style-type: none"> ○ How was the information from M&E system used during the project implementation? Was an M&E system in place and did it facilitate timely tracking of progress toward project results by collecting information on selected indicators continually throughout the project implementation period? Did project team and manager make decisions and corrective actions based on analysis from M&E system and based on results achieved? ○ Are annual/progress project reports complete and accurate? ○ Was the information provided by the M&E system used to improve performance and adapt to changing needs? Was information on project performance and results achievement being presented to the Project Steering Committee to make decisions and corrective actions? Do the Project team and managers and PSC regularly ask for performance and results information? ○ Are monitoring and self-evaluation carried out effectively, based on indicators for outputs, outcomes and impact in the logframe? Do performance monitoring and reviews take place regularly?

#	<u>Evaluation criteria</u>
	<ul style="list-style-type: none"> ○ Were resources for M&E sufficient? ○ How has the logframe been used for Monitoring and Evaluation purposes (developing M&E plan, setting M&E system, determining baseline and targets, annual implementation review by the Project Steering Committee...) to monitor progress towards expected outputs and outcomes? ○ How well have risks outlined the project document and in the logframe been monitored and managed? How often have risks been reviewed and updated? Has a risk management mechanism been put in place?
3	<ul style="list-style-type: none"> • <u>Project management</u> ✓ Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement. ✓ Review whether the national management and overall coordination mechanisms have been efficient and effective? Did each partner have assigned roles and responsibilities from the beginning? Did each partner fulfil its role and responsibilities (e.g. providing strategic support, monitoring and reviewing performance, allocating funds, providing technical support, following up agreed/corrective actions)? ✓ The UNIDO HQ-based management, coordination, monitoring, quality control and technical inputs have been efficient, timely and effective (e.g. problems identified timely and accurately; quality support provided timely and effectively; right staffing levels, continuity, skill mix and frequency of field visits)?
E	Performance of partners
1	<ul style="list-style-type: none"> • <u>UNIDO</u> ✓ Design <ul style="list-style-type: none"> ○ Mobilization of adequate technical expertise for project design ○ Inclusiveness of project design (with national counterparts) ○ Previous evaluative evidence shaping project design ○ Planning for M&E and ensuring sufficient M&E budget ✓ Implementation <ul style="list-style-type: none"> ○ Timely recruitment of project staff ○ Appropriate use of funds, procurement and contracting of goods and services ○ Project modifications following changes in context or after the Mid-Term Review ○ Follow-up to address implementation bottlenecks ○ Role of UNIDO country presence (if applicable) supporting the project ○ Engagement in policy dialogue to ensure up-scaling of innovations ○ Coordination function ○ Exit strategy, planned together with the government
2	<ul style="list-style-type: none"> • <u>National counterparts</u> ✓ Design <ul style="list-style-type: none"> ○ Responsiveness to UNIDO's invitation for engagement in designing the project

#	<u>Evaluation criteria</u>
	<ul style="list-style-type: none"> ✓ Implementation ○ Ownership of the project ○ Support to the project, based on actions and policies ○ Counterpart funding ○ Internal government coordination ○ Exit strategy, planned together with UNIDO, or arrangements for continued funding of certain activities ○ Facilitation of the participation of Non-Governmental Organizations(NGOs), civil society and the private sector where appropriate ○ Suitable procurement procedures for timely project implementation ○ Engagement with UNIDO in policy dialogue to promote the up-scaling or replication of innovations
3	<ul style="list-style-type: none"> • <u>Donor</u> ✓ Timely disbursement of project funds ✓ Feedback to progress reports, including Mid-Term Evaluation ✓ Support by the donor's country presence (if applicable) supporting the project for example through engagement in policy dialogue
F	<p>Overall project achievement</p> <ul style="list-style-type: none"> ✓ Overarching assessment of the project, drawing upon the analysis made under Project performance and Progress to Impact criteria above but not an average of ratings.

Annex 3: Job descriptions

Post title: Senior International Evaluator (Team Leader)

Duration: 27 working days

Date required: 14 August – 30 September 2017

Duty station: Home-base with one briefing in Vienna and field mission to Viet Nam

Under the direct supervision of the UNIDO Evaluation Manager, in cooperation with the national consultant, and with the support of the Project Manager, the Senior International Evaluation Expert is responsible to carry out the following tasks:

Tasks	Expected Duration	Expected results
Undertake desk review of management, activity, output and related documents of the Project	5 working days (home base)	Key questions and notes to prepare the inception report and field visits
Prepare an inception report which streamlines the specific questions to address the key issues in the TOR, specific methods that will be used and data to collect in the field visits, detailed evaluation methodology confirmed, draft theory of change, and tentative agenda for field work.	3 working days (home base)	The inception report. Submitted to evaluation manager on or before 29 September 2017
Undertake fact finding field missions to consult field project partners and beneficiaries to verify and complete preliminary evaluation findings from desk review and assess the institutional capacities of the recipient country.	10 working days	Completed data collection on or before 17 September
Debriefing mission – presentation of preliminary evaluation findings and recommendations to the project stakeholders for factual validation	1 working day (Vienna)	Factual validation of evaluation report concluded, additional data obtained
Prepare and submit draft report of evaluation, including evaluation findings and recommendations and lessons learned	6 working days	Draft evaluation report submitted to evaluation manager for review on or before 25 September 2017. 2 pages summary of take-away message from the evaluation.
Finalize evaluation report, on basis of comments and suggestions received through the evaluation manager	2 working days (home base)	Final evaluation report submitted to evaluation manager on 30 September 2017

Requirements

Relevant university degree; over 10 years' experience with environmental management projects as well as project evaluation experience; excellent oral and written communication skills in English; Knowledge of French and national languages is an asset.

Absence of Conflict of Interest:

According to UNIDO rules, the consultant must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the project/project (or theme) under evaluation. The consultant will be requested to sign a declaration that none of the above situations exists and that the consultants will not seek assignments with the manager/s in charge of the project before or shortly after the completion of her/his contract with the Office for Independent Evaluation.

Post title: National consultant
Duration: 21 working days
Date required: 14 August – 30 September 2017
Duty station: Home-base and a field mission within Viet Nam

Under the direct supervision of the UNIDO Headquarters Evaluation Manager, in consultation with and under the guidance of the Team Leader and with the support of the Project Managers, the national consultant is responsible to carry out the following tasks:

Tasks	Expected Duration	Expected results
<p>Desk review</p> <p>Review and analyze project documentation and relevant country background information; in cooperation with the team leader, determine key data to collect in the field and prepare key instruments in Vietnamese if deemed necessary (questionnaires, logic models);</p> <p>If need be, recommend adjustments to the tools in order to ensure their understanding in the local context;</p> <p>Coordinate and lead interviews in local language and assist the team leader with translation where necessary;</p> <p>Analyze and assess the adequacy of legislative and regulatory framework, specifically in the context of the project's objectives and targets.</p>	3 working days (home base)	<p>Evaluation questions, questionnaires/interview guide, logic models adjusted to ensure understanding in the national context;</p> <p>A stakeholder mapping;</p> <p>A brief assessment of the adequacy of the country's legislative and regulatory framework in the context of the project.</p>
<p>Coordinate the evaluation mission agenda, ensuring and setting up the required meetings with project partners and government counterparts, and organize and lead site visits, in close cooperation with project staff in the field.</p> <p>Assist and provide detailed analysis and inputs to the team leader in the preparation of the inception report.</p>	3 working days (home base)	<p>Detailed evaluation schedule</p> <p>List of stakeholders to interview during the field missions.</p>
<p>Participation in interviews during field missions</p>	10 working days	Interview notes.
<p>Prepare inputs and analysis to the evaluation report according to TOR and as agreed with the team leader.</p> <p>Revise the draft project evaluation report based on comments from UNIDO IEV and stakeholders and edit the language and form of the final version according to UNIDO standards.</p>	3 working days	Draft evaluation report submitted to evaluation manager for review.
<p>Finalize evaluation report, on basis of comments and suggestions received through the evaluation manager</p>	2 working days (home base)	Final evaluation report submitted to evaluation manager

Requirements

Relevant university degree; over 5 years' experience in planning, implementation, monitoring and/or evaluation of technical assistance projects; excellent oral and written communication skills in English; demonstrated familiarity with procedures and practices of international technical cooperation.

Absence of Conflict of Interest:

According to UNIDO rules, the consultant must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the project/project (or theme) under evaluation. The consultant will be requested to sign a declaration that none of the above situations exists and that the consultants will not seek assignments with the manager/s in charge of the project before or shortly after the completion of her/his contract with the Office for Independent Evaluation.

Annex 4- Outline of an in-depth project evaluation report

Executive summary

- Must provide a synopsis of the storyline which includes the main evaluation findings and recommendations
- Must present strengths and weaknesses of the project
- Must be self-explanatory and should be maximum 3-4 pages in length

I. Evaluation objectives, methodology and process

- Information on the evaluation: why, when, by whom, etc.
- Scope and objectives of the evaluation, main questions to be addressed
- Information sources and availability of information
- Methodological remarks, limitations encountered and validity of the findings

II. Country and project background

- Brief country context: an overview of the economy, the environment, institutional development, demographic and other data of relevance to the project
- Sector-specific issues of concern to the project⁷ and important developments during the project implementation period
- Project summary:
 - Fact sheet of the project: including project objectives and structure, donors and counterparts, project timing and duration, project costs and co-financing
 - Brief description including history and previous cooperation
 - Project implementation arrangements and implementation modalities, institutions involved, major changes to project implementation
 - Positioning of the UNIDO project (other initiatives of government, other donors, private sector, etc.)
 - Counterpart organization(s)

III. Project assessment

This is the key chapter of the report and should address all evaluation criteria and questions outlined in the TOR (see section VI Project Evaluation Parameters). Assessment must be based on factual evidence collected and analyzed from different sources. The evaluators' assessment can be broken into the following sections:

⁷ Explicit and implicit assumptions in the logical framework of the project can provide insights into key-issues of concern (e.g. relevant legislation, enforcement capacities, government initiatives, etc.)

- A. Project design
- B. Implementation performance
 - Ownership and relevance (Report on the relevance of project vis-à-vis the country and project beneficiaries, country ownership, stakeholder involvement)
 - Effectiveness (The extent to which the development intervention's objectives, outcomes and deliverables were achieved, or are expected to be achieved, taking into account their relative importance)
 - Efficiency (Report on the overall cost-benefit of the project and partner country's contribution to the achievement of project objectives)
 - Likelihood of sustainability of project outcomes (Report on the risks and vulnerability of the project, considering the likely effects of sociopolitical and institutional changes in the partner country, and its impact on continuation of benefits after the project ends, specifically the financial, sociopolitical, institutional framework and governance, and environmental risks)
 - Project coordination and management (Report project management conditions and achievements, and partner country's commitment)
 - Assessment of monitoring and evaluation systems (Report on M&E design, M&E plan implementation, and budgeting and funding for M&E activities)
 - Monitoring of long-term changes
 - Assessment of processes affecting achievement of project results (Report on preparation and readiness / quality at entry, financial planning, UNIDO support, co-financing, delays of project outcomes/outputs, and implementation approach)
- C. Gender mainstreaming

At the end of this chapter, an overall project achievement rating should be developed as required in Annex 2. The overall rating table should be presented here.

IV. Conclusions, recommendations and lessons learned

This chapter can be divided into three sections:

A. Conclusions

This section should include a storyline of the main evaluation conclusions related to the project's achievements and shortfalls. It is important to avoid providing a summary based on each and every evaluation criterion. The main conclusions should be cross-referenced to relevant sections of the evaluation report.

B. Recommendations

This section should be succinct and contain few key recommendations. They should:

- be based on evaluation findings

- be realistic and feasible within a project context
- indicate institution(s) responsible for implementation (addressed to a specific officer, group or entity who can act on it) and have a proposed timeline for implementation if possible
- be commensurate with the available capacities of project team and partners
- take resource requirements into account.

Recommendations should be structured by addressees:

- UNIDO
- Government and/or Counterpart Organizations
- Donor

C. Lessons learned

- Lessons learned must be of wider applicability beyond the evaluated project but must be based on findings and conclusions of the evaluation
- For each lesson, the context from which they are derived should be briefly stated

Annexes should include the evaluation TOR, list of interviewees, documents reviewed, a summary of project identification and financial data, including an updated table of expenditures to date, and other detailed quantitative information. Dissident views or management responses to the evaluation findings may later be appended in an annex.

Annex 5: Checklist on evaluation report quality

Project Title:

UNIDO Project ID:

Evaluation team:

Quality review done by:

Date:

Report quality criteria	UNIDO IEV assessment notes	Rating
a. Was the report well-structured and properly written? (Clear language, correct grammar, clear and logical structure)		
b. Was the evaluation objective clearly stated and the methodology appropriately defined?		
c. Did the report present an assessment of relevant outcomes and achievement of project objectives?		
d. Was the report consistent with the ToR and was the evidence complete and convincing?		
e. Did the report present a sound assessment of sustainability of outcomes or did it explain why this is not (yet) possible? (Including assessment of assumptions, risks and impact drivers)		
f. Did the evidence presented support the lessons and recommendations? Are these directly based on findings?		
g. Did the report include the actual project costs (total, per activity, per source)?		
h. Did the report include an assessment of the quality of both the M&E plan at entry and the system used during the implementation? Was the M&E sufficiently budgeted for during preparation and properly funded during implementation?		
i. Quality of the lessons: were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
j. Quality of the recommendations: did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can these be immediately implemented with current resources?		
k. Are the main cross-cutting issues, such as gender, human rights and environment, appropriately covered?		
l. Was the report delivered in a timely manner? (Observance of deadlines)		

Rating system for quality of evaluation reports

A rating scale of 1-6 is used for each criterion: Highly satisfactory = 6, Satisfactory = 5, Moderately satisfactory = 4, Moderately unsatisfactory = 3, Unsatisfactory = 2, Highly unsatisfactory = 1, and unable to assess = 0.

Annex 6: Guidance on integrating gender in evaluations of UNIDO projects and Projects

A. Introduction

Gender equality is internationally recognized as a goal of development and is fundamental to sustainable growth and poverty reduction. The UNIDO Policy on gender equality and the empowerment of women and its addendum, issued respectively in April 2009 and May 2010 (UNIDO/DGB(M).110 and UNIDO/DGB(M).110/Add.1), provides the overall guidelines for establishing a gender mainstreaming strategy and action plans to guide the process of addressing gender issues in the Organization's industrial development interventions.

According to the UNIDO Policy on gender equality and the empowerment of women:

Gender equality refers to the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not suggest that women and men become 'the same' but that women's and men's rights, responsibilities and opportunities do not depend on whether they are born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration, recognizing the diversity of different groups of women and men. It is therefore not a 'women's issues'. On the contrary, it concerns and should fully engage both men and women and is a precondition for, and an indicator of sustainable people-centered development.

Empowerment of women signifies women gaining power and control over their own lives. It involves awareness-raising, building of self-confidence, expansion of choices, increased access to and control over resources and actions to transform the structures and institutions which reinforce and perpetuate gender discriminations and inequality.

Gender parity signifies equal numbers of men and women at all levels of an institution or organization, particularly at senior and decision-making levels.

The UNIDO projects/projects can be divided into two categories: 1) those where promotion of gender equality is one of the key aspects of the project/project; and 2) those where there is limited or no attempted integration of gender. Evaluation managers/evaluators should select relevant questions depending on the type of interventions.

B. Gender responsive evaluation questions

The questions below will help evaluation managers/evaluators to mainstream gender issues in their evaluations.

B.1. Design

- Is the project/project in line with the UNIDO and national policies on gender equality and the empowerment of women?
- Were gender issues identified at the design stage?
- Did the project/project design adequately consider the gender dimensions in its interventions? If so, how?
- Were adequate resources (e.g., funds, staff time, methodology, experts) allocated to address gender concerns?
- To what extent were the needs and priorities of women, girls, boys and men reflected in the design?
- Was a gender analysis included in a baseline study or needs assessment (if any)?
- If the project/project is people-centered, were target beneficiaries clearly identified and disaggregated by sex, age, race, ethnicity and socio-economic group?
- If the project/project promotes gender equality and/or women's empowerment, was gender equality reflected in its objective/s? To what extent are output/outcome indicators gender disaggregated?

B.2. Implementation management

- Did project monitoring and self-evaluation collect and analyse gender disaggregated data?
- Were decisions and recommendations based on the analyses? If so, how?
- Were gender concerns reflected in the criteria to select beneficiaries? If so, how?
- How gender-balanced was the composition of the project management team, the Steering Committee, experts and consultants and the beneficiaries?
- If the project/project promotes gender equality and/or women's empowerment, did the project/project monitor, assess and report on its gender related objective/s?

B.3. Results

- Have women and men benefited equally from the project's interventions? Do the results affect women and men differently? If so, why and how? How are the results likely to affect gender relations (e.g., division of labour, decision making authority)?
- In the case of a project/project with gender related objective/s, to what extent has the project/project achieved the objective/s? To what extent has the project/project reduced gender disparities and enhanced women's empowerment?