



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE

Independent terminal evaluation of project

Reducing vulnerability of banana producing communities to climate change through banana value added activities

UNIDO ID: 140015
GEF Project ID: 5603

March 2021

Contents

I.	PROJECT BACKGROUND AND CONTEXT	3
1.	Project factsheet	3
2.	Project context.....	3
3.	Project objective and expected outcomes	4
4.	Project implementation arrangements	5
5.	Main findings of the Mid-term review (MTR)	7
6.	Budget information	Error! Bookmark not defined.
II.	Scope and purpose of the evaluation	9
III.	Evaluation approach and methodology.....	Error! Bookmark not defined.
1.	Data collection methods.....	10
2.	Evaluation key questions and criteria	10
3.	Rating system.....	12
IV.	Evaluation process	12
V.	Time schedule and deliverables.....	13
VI.	Evaluation team composition	13
VII.	Reporting.....	14
VIII.	Quality assurance	15
	Annex 1: Project Logical Framework.....	16
	Annex 2: Detailed questions to assess evaluation criteria	19
	Annex 3: Job descriptions	19
	Annex 4- Outline of an in-depth project evaluation report.....	28
	Annex 5: Checklist on evaluation report quality	30
	Annex 6: Guidance on integrating gender in evaluations of UNIDO projects and Projects	31
	Table 1. Financing plan summary	Error! Bookmark not defined.
	Table 2. Financing plan summary - Outcome breakdown	8
	Table 3. Co-Financing source breakdown	Error! Bookmark not defined.
	Table 4. UNIDO budget execution	8
	Table 5. Project evaluation criteria.....	11
	Table 6. Project rating criteria	12
	Table 7. Major timelines	13

I. PROJECT BACKGROUND AND CONTEXT

1. Project factsheet¹²

Project title	Reducing Vulnerability of Banana Producing Communities to Climate Change Through Banana Value Added Activities
UNIDO ID	140015
GEF Project ID	5603
Region	Eastern Africa
Country(ies)	Uganda
Project donor(s)	GEF
Project implementation start date	04 December 2015
Expected duration	36 months (against the actual duration of 60 months)
Expected implementation end date	31 December 2020
GEF Focal Areas and Operational Project	Climate Change (CC)
Implementing agency(ies)	UNIDO
Government coordinating agency	Ministry of Agriculture, Animal Industry and Fisheries
Donor funding	USD 2,820,000
Project GEF CEO endorsement / approval date	13 August 2015
UNIDO input (in kind, USD)	USD 188,254
Co-financing at CEO Endorsement, as applicable	USD 7,065,502
Mid-term review date	January 2018
Planned terminal evaluation date	January – April 2021

(Source: Project document)

2. Project context

It is well documented that agriculture (and the agroindustry sector in general) plays a significant roles in the socio-economic development of Uganda. Therefore, the project was designed to have a strong socioeconomic dimension, centering on the banana sub-sector and its value chain actors. Uganda is indeed the second largest producer of bananas in the world and the banana production occupies 30% of the national cropped land, by almost 1 million farm households, representing 24% of the total agricultural households.

Over the past 100 years, rising temperatures of about 0.5°C have been recorded in East Africa; mean annual temperatures of 0.7°–1.5°C are predicted by the 2020s. The mean annual temperature for Uganda

¹ Data to be validated by the Evaluation team.

increased by 1.3°C since 1960, an average rate of 0.28°C/decade. Climate change is predicted to have a significant impact on Uganda and while the poor and vulnerable groups are mostly likely to be impacted through damages to their assets, livelihoods, and food security.

The Government of Uganda (GoU) has therefore requested UNIDO to implement a climate-resilient livelihoods diversification project within its banana value chain development programme in order to achieve a number of key national adaptation goals, in line with national identified key strategies of food preservation, alternative livelihood systems and changes in agriculture practices.

The project was designed to have an impact in the country by contributing to an increased resilience of small holder farming households to climate change (CC) and further contribute to income and food security. The project developed capacities for communities to engage in livelihood diversification value addition activities, such as vacuum packing and solar drying of fresh bananas, banana juice and wine making. The additional income created through these activities is estimated to stimulate further investments into Climate Change Adaptation (CCA) coping strategies by communities, such as on improving agricultural practices, construction of reservoirs for water harvesting and soil conservation, to strengthen adaptive capacities and resiliency to CC. In addition, the project also supports the closed-loop banana production through the conversion of banana waste to biofuel for the processing facilities as well as domestic use. The project seeks to boost production and revenues by increasing banana yields and production and by reducing the levels of pre- and postharvest losses due to the effects of CC.

In line with the mandate of UNIDO, the project is conceived to allow for an environmentally sustainable growth of the banana industry in the districts of Isingiro, Mbarara, Ntungamo, Bushenyi, Sheema, Rubirizi, Mitooma and Buhweju, by supporting additional value added technologies. Furthermore, the use of Tissue Culture (TC) derived planting material to replace disease plantation, ensures the sustainable supply of fresh bananas for food security and the envisaged demand for value added banana products.

3. Project objective and expected outcomes

The project aims to build resilience to climate change among vulnerable communities in Western Uganda, and contribute to their income and food security. Operational principles guiding the project are below:

- Ensuring national leadership and ownership – High degree of participation and engaging stakeholders will ensure high-level support and a strong sense of ownership;
- Ensuring multi-stakeholder participation and consultation – Participation is critical to generate sense of ownership;
- Building on existing and on-going work – Avoiding duplication and maximizing past investments by GEF, UNIDO, the government and donor community in relevant areas of support;
- Adopting a long-term approach – Finding strong links with critical development policy frameworks for long-term policy change, developing critical capacities at local and national levels and leveraging a follow-up funding.

The project has four main components:

Component 1: Climate Change Adaptation (CCA) and gender equality for adaptation mainstreamed into National Development Policies/Strategies.

Outcome 1: CCA strategies coupled with appropriate action on gender equality are incorporated into developmental policies and implemented by stakeholders in the various sectors.

Outputs 1.1 National policy documents such as the Agriculture sector strategic plan updated with action on CCA and gender mainstreaming for adaptation.

Output 1.2 CCA coping strategies including gender equality for adaptation promoted among investors and other stakeholders in the agro-industries and rural enterprise development sector.

Component 2: CC resilience building of vulnerable communities in major banana producing regions and contribute to food and income security thorough livelihood diversification.

Outcome 2: Vulnerable targeted communities are increasingly participating in resilience building activities for income diversification and adopting alternative agricultural practices to tackle the high incidence of diseases affecting bananas, maintain soil fertility and sustain their agriculture based livelihoods.

Output 2.1 Sensitization of female and male farmers in the target district on CCA coping strategies to build resilience to CC

Output 2.2 Small scale processing facilities established in target regions for vulnerable communities to engage in income diversification banana value addition activities

Output 2.3 Banana-based products from income diversification activities effectively marketed in locations with good marketing potential

Output 2.4. Community-based banana Tissue Culture (TC) industry established to support the demand generated from CCA coping livelihood diversification activities introduced to the vulnerable farming community

Output 2.5. Bio-digesters to convert banana waste into biogas established to support income diversification activities, and the resulting digestate used for soil fertility

Output 2.6 Water purification and water harvesting technologies to support livelihoods diversification and income generating activities promoted

Component 3: Dissemination of information and expansion of the strategy and project benefits.

Outcome 3: Lessons learned and best practices from policy changes, capacity development initiatives and pilot plants disseminated

Output 3.1 Guidelines on best practices and project knowledge disseminated within the country and the sub-region through websites, publications and communication products in various languages

Component 4: Quality Control Monitoring and Evaluation.

Outcome 4: Quality control and efficient monitoring of project intervention to support adoption by CC vulnerable communities

Output 4.1 Timely quarterly and annual reports prepared; midterm and final evaluation [using Adaptation Monitoring and Assessment Tool (AMAT)] of project activities completed

4. Project implementation arrangements

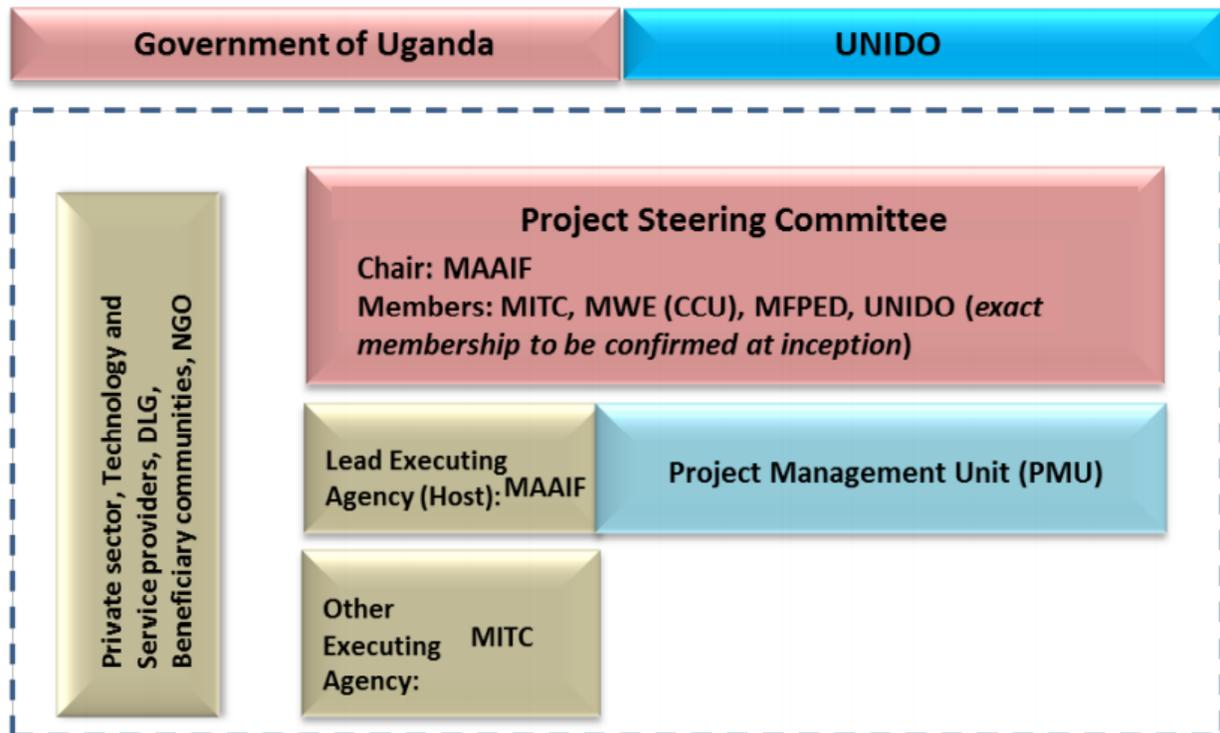
Ministry of Finance, Planning and Economic Development (MFPED) is the signatory of the project on behalf of the GoU (GEF focal point) and the Ministry of Water and Environment (MWE) coordinates the

implementation and monitoring of national CC actions on mitigation and adaptation in different sectors. Other public and private sector stakeholders include: Uganda National Bureau of Standard (UNBS); Uganda Industrial Research Institute (UIRI); Micro Finance Support Centre (MFSC); Agro Genetics Technologies Ltd (AGT); Fruits of the Nile (FoN); Afri Banana Products Limited (ABP); Uganda Cooperative Alliance (UCA); Uganda Export promotion board (UEPB); District Local Governments (DLGs) of Isingiro, Mbarara, Ntungamo, Bushenyi, Sheema, Rubirizi, Mitooma and Buhweju districts. The project also partnered with the relevant CSOs such as UCA and Farm Radio International to provide services on information dissemination, training and incubation of farmers in aggregated processing groups.

A Project Steering Committee (PSC) was established with the responsibility of coordination among Government agencies and to provide the necessary guidance on project execution. The PSC ensures the high level support and participation of key stakeholders both at national and sub-national levels. The PSC is composed by representatives from key beneficiaries and stakeholders and has both executive and oversight roles.

A Project Management (PMU) is responsible for the day-to-day execution of all project activities, including direct monitoring of those activities contracted to consultants and other vendors. The PMU consists of a National Project Coordinator (NPC), a Project/ Administrative Assistant, Office Attendant and a Project Driver, as well as international and national experts, as required.

The project implementation arrangements are simplified in the diagram below.



5. Main findings of the mid-term review (MTR)

A mid-term review of the project was conducted in January 2018. Main findings are listed below:

Relevance. The project is aligned with GoU, GEF, and UNIDO development priorities in relation to CC. The Banana Livelihoods Development project is highly relevant.

Effectiveness. The project's outputs are being delivered but are delayed due to the time it took to finalize the agreement with MAAIF. At outcome level, the project is doing exactly what it says it would be doing: building the resilience of banana producing households to cope with the effects of CC and be more resilient.

Efficiency. UNIDO and GEF procurement procedures are being used. The project ensures that it gets the best price for the goods and services it purchases. The PMU was set up early enough in the process and is fully operational. However, at ground level, implementation is coordinated by the staff of the DLGs. There did not seem to be any coordination with other GEF-funded projects in the country or other CC projects. Significant delays were noted because of the time it took to finalize the agreement with MAAIF. The project's PSC meets regularly. The PMU and DLG staff also do routine monitoring to keep abreast of project performance and issues, and how to solve them when needed.

Gender. The project does not have a gender mainstreaming strategy, although both men and women are actually benefitting.

The main recommendations issued by the MTR are:

- Regarding the performance indicators, it is important for UNIDO to include in the design of its projects the mobilization of a M&E specialist to look at the theory of change, logframe, and performance indicators that are being proposed.
- Although the project did a thorough gender assessment at the beginning of the project, none of the findings is actually being used during project implementation. The PMU should set its gender targets and share them with the Project Steering Committee (PSC). Those targets should appear in the new logframe and be monitored for the remaining life of the project
- To help project teams do better work on M&E, for all projects that lack an M&E specialist UNIDO should appoint such a person based at headquarters to provide ad-hoc support to the team and help them establish a simple M&E system during the inception phase.
- The indicator regarding the revenue of the farmers has been dropped. Since the project goal is, partially, to increase farmers' revenues, UNIDO should bring that indicator back and set an appropriate method to measure it
- It is highly unlikely that the GoU will release all of its co-financed funds that were agreed during project design. UNIDO and the GoU should start assessing the implications of the lack of mobilization of those funds and, if necessary, review their targets with this project
- Because it took time for the project to finalize the agreement with MAAIF, it is important for the project to stay on top of the implementation of those activities now that the agreement has been signed.

6. Budget information

Table 1. Financing plan summary - Outcome breakdown³

Project components	Donor (GEF/other) (USD)	Co-Financing (\$)	Total (USD)
PC1- CCA and gender equality for adaptation mainstreamed into National Development Policies/Strategies	140,000	200,000	340,000
PC2- CC resilience building of vulnerable communities in major banana-producing regions and contribute to food and income security thorough livelihood diversification	2,205,000	6,247,000	8,452,000
PC3- Dissemination of information and expansion of the strategy and project benefits	150,000	412,000	562,000
PC4- Quality control M&E	120,000	106,502	226,502
Project management	205,000	100,000	305,000
Total (USD)	2,820,000	7,065,502	9,885,502

(Source: CEO endorsement document)

Table 2. Co-financing table

Name of Co-financier (source)	In-kind	Cash	Total Amount (USD)
UNIDO <i>Implementing Agency</i>	188,254	44,248	0
MAAIF <i>Government Agency</i>	36,000	6,090,000	6,126,000
Agro Genetics Technologies Ltd (AGT) <i>Private sector</i>		120,000	120,000
Afri Banana Products Limited (ABP) <i>Private sector</i>	150,000	12,000	167,000
Forest Fruit Foods Ltd <i>Private sector</i>	410,000	15,000	425,000
Total Co-financing (USD)	784,254	6,281,248	7,065,502

(Source: CEO endorsement document)

³ Source: Project document.

Table 3. UNIDO budget execution

Items of expenditure	2015	2016	2017	2018	2019	2020	Total expend.	%
Contractual Services		121,876	434,419	154,158	-39	123,349	833,763	29,9
Equipment		77,638	65,210	105,212	704,277	11,693	964,030	34,6
International meetings			-38				-38	≤1
Local travel		12,055	11,618	17,041	22,272	3,358	66,344	2,4
Nat. Consult./Staff		50,246	67,078	71,467	50,988	37,069	276,848	9,9
Other Direct Costs	2,498	42,928	76,767	37,487	26,767	5,330	191,777	6,9
Premises			-1	28,589	111	54,396	83,095	2,9
Staff & Intern Consultants		2,238	18,314	30,330	48,132	4,979	103,993	3,8
Train/Fellowship/Study	45,000	79,178	96,397	5,395	45,913	-2,072	269,811	9,6
Grand Total	47,498	388,175	771,781	451,697	900,440	240,122	2,789,623	100%

(Source: UNIDO Project Management database as of 20 November 2020)

II. Scope and purpose of the evaluation

The purpose of the evaluation is to independently assess the project to help UNIDO improve performance and results of ongoing and future programmes and projects. The independent terminal evaluation (TE) will cover the whole duration of the project from its starting date in December 2015 to the completion date in December 2020.

The evaluation has two specific objectives:

- (i) Assess the project performance in terms of relevance, effectiveness, efficiency, sustainability and progress to impact; and
- (ii) 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 will be applied.

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)

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/EIO/IED) on the conduct of the evaluation and methodological issues.

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

Following are the main instruments for data collection:

- (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, counterparts and stakeholders.
- (c) **Field visit** to project sites in Uganda.
 - On-site observation of results achieved by the project, including interviews of actual and potential beneficiaries of improved technologies
 - Interviews with the relevant UNIDO Country Office(s) representative to the extent that he/she was involved in the project, and the project's management members and the various national [and sub-regional] authorities dealing with project activities as necessary.

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 1 below provides the key evaluation criteria to be assessed by the evaluation. The details questions to assess each evaluation criterion are in Annex 2 of the UNIDO [Evaluation Manual](#).

Table 1. Project evaluation criteria

Index	Evaluation criteria	Mandatory rating
A	Progress to 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
5	• Coherence*	Yes
D	Cross-cutting performance criteria	
1	• Gender mainstreaming	Yes
2	• Environment and socio-economic aspects ⁶	
2	• M&E: (focus on Monitoring) ✓ 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

* Coherence is added reflecting the changes in the updated DAC evaluation criteria. See annex 7 for more details.

Performance of partners

The assessment of performance of partners will **include** the quality of implementation and execution of the GEF Agencies and project executing entities (EAs) in discharging their expected roles and responsibilities. The assessment will take into account the following:

- Quality of Implementation, e.g. the extent to which the agency delivered effectively, with focus on elements that were controllable from the given GEF Agency's perspective and how well risks were identified and managed.

⁶ All GEF-4 and GEF-5 projects have incorporated relevant environmental and social considerations into the project design / GEF-6 projects have followed the provisions specified in UNIDO/DGAI.23: UNIDO Environmental and Social Safeguards Policies and Procedures (ESSPP)

- Quality of Execution, e.g. the appropriate use of funds, procurement and contracting of goods and services.

Other Assessments required by the GEF for GEF-funded projects:

The terminal evaluation will assess the following topics, for which **ratings are not required**:

- Need for follow-up:** e.g. in instances financial mismanagement, unintended negative impacts or risks.
- Materialization of co-financing:** e.g. the extent to which the expected co-financing materialized, whether co-financing was administered by the project management or by some other organization; whether and how shortfall or excess in co-financing affected project results.
- Environmental and Social Safeguards⁷:** appropriate environmental and social safeguards were addressed in the project’s design and implementation, e.g. preventive or mitigation measures for any foreseeable adverse effects and/or harm to environment or to any stakeholder.

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 **Error! Reference source not found.**

Table 2. Project rating criteria

Score		Definition	Category
6	Highly satisfactory	Level of achievement presents no shortcomings (90% - 100% achievement rate of planned expectations and targets).	SATISFACTORY
5	Satisfactory	Level of achievement presents minor shortcomings (70% - 89% achievement rate of planned expectations and targets).	
4	Moderately satisfactory	Level of achievement presents moderate shortcomings (50% - 69% achievement rate of planned expectations and targets).	
3	Moderately unsatisfactory	Level of achievement presents some significant shortcomings (30% - 49% achievement rate of planned expectations and targets).	UNSATISFACTORY
2	Unsatisfactory	Level of achievement presents major shortcomings (10% - 29% achievement rate of planned expectations and targets).	
1	Highly unsatisfactory	Level of achievement presents severe shortcomings (0% - 9% achievement rate of planned expectations and targets).	

IV. Evaluation process

The evaluation will be conducted from mid-February to May 2021. The evaluation will be implemented in four phases which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

⁷ Refer to GEF/C.41/10/Rev.1 available at: http://www.thegef.org/sites/default/files/council-meetingdocuments/C.41.10.Rev_1.Policy_on_Environmental_and_Social_Safeguards.Final%20of%20Nov%2018.pdf

- 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; the specific site visits will be determined during the inception phase, taking into consideration the findings and recommendations of the mid-term review and the actual situation in the country, and travel restriction by the national government caused by the Covid pandemic.
- ii. Desk review and data analysis;
- iii. Interviews, survey and literature review;
- iv. Field visit to project sites by the national evaluator (which will be in compliance with the rules and regulations on Covid by the national government, the UN and UNIDO);
- v. Data analysis and report writing.

IED Final evaluation report issuance and distribution with the respective management response sheet and further follow-up, and publication of evaluation report in UNIDO intra/internet sites.

V. Time schedule and deliverables

The evaluation is scheduled to take place from mid-February to May 2021. The tentative timelines are provided in **Error! Reference source not found.**

The evaluation team will give an online debriefing and presentation of the preliminary findings of the terminal evaluation to the relevant stakeholders. The draft TE report is to be shared with the UNIDO PM, UNIDO Independent Evaluation Division, the UNIDO GEF Coordinator and GEF OFP 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 ODG/EIO/EID standards.

Table 3. Tentative timelines

Timelines	Tasks
February 2021	Recruitment of the evaluation team
Mar 2021	Desk review Writing of inception report and briefing with UNIDO project manager and the project team based in Vienna through Skype/Zoom
Mid-Mar – April 2021	Online interviews and other data collection tools as per Inception Report Field visit
Mid- May 2021	First Draft evaluation report. Internal peer review of the report by UNIDO’s Independent Evaluation Division and other stakeholder comments to draft evaluation report
Early June 2021	Debriefing to the stakeholders on the evaluation findings and recommendations (hybrid meeting including both physical and virtual meeting, as Covid and budget situation allow).
June	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 evaluation experience and skills together with expertise and experience in climate change and value chains. 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 UNIDO Project Manager and the project team in Uganda will support the evaluation team. The UNIDO GEF Coordinator and GEF OFP(s) will be briefed on the evaluation and provide support to its conduct. GEF OFP(s) will, where applicable and feasible, also be briefed and debriefed.

An evaluation manager from UNIDO Independent Evaluation Division 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 Team Leader 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; people to be interviewed and possible surveys to be conducted and a debriefing and reporting timetable⁸.

Evaluation report format and review procedures

The draft report will be delivered to UNIDO’s Independent Evaluation Division (the suggested report outline is 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’s Independent Evaluation Division 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 and take into account their feed-back in preparing the evaluation report. A presentation of preliminary findings will take place virtually.

⁸ The evaluator will be provided with a Guide on how to prepare an evaluation inception report prepared by the UNIDO ODG/EVQ/IEV.

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 3.

VIII. Quality assurance

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

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 4. The applied evaluation quality assessment criteria are used as a tool to provide structured feedback. UNIDO Independent Evaluation Division 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 Independent Evaluation Division, 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

Intervention logic	Verifiable indicators	Sources of verification	Assumptions
Impact			
Increased resilience to CC, income and food security of small holder farming households in Western Uganda	<ul style="list-style-type: none"> At least 5000 small-holder farmers disaggregated by sex with improved assets* (such as soil and water conservation structures, water harvesting structures) to adapt to CC At least 5000 small-holder farmers disaggregated by sex reclassified as income and food secure 	<ul style="list-style-type: none"> Baseline and Impact assessment study UNBS 	X
Objective			
To support vulnerable communities in Western Uganda to better adapt to the effects of CC through banana value addition activities, to provide greater opportunities for income generation, poverty reduction and food security	<ul style="list-style-type: none"> Average income of banana producing households in target districts increased by 30% at project completion (baseline will be established at inception phase); disaggregated by sex of head of household 30% increase in the banana value addition in the target region (baseline will be established at inception phase) 	<ul style="list-style-type: none"> Inception baseline, midterm and final reports MTIC, MAAIF reports 	<ul style="list-style-type: none"> Government continuous to prioritise development of the agro industries as a means to poverty reduction
Component 1: CCA and gender equality for adaptation mainstreamed into National Development Policy/Strategies.			
Outcome 1: CCA strategies coupled with appropriate action on gender equality are incorporated into developmental policies and implemented by stakeholders in the various sectors	<ul style="list-style-type: none"> CCA captured in the new Agriculture Sector Strategy Plan (ASSP) (2015/16-2019/2020); the National Industrial Sector Strategic Plan (NISSP); and District level strategies on adaptation produced Eight DLG development plans setting priorities on reducing vulnerability to CC along the value chain 	<ul style="list-style-type: none"> Actual policy documents/ strategies 	<ul style="list-style-type: none"> Government stakeholders and private sector partners are willing to engage in the development of CCA strategies
Component 2: Climate Change resilience building of vulnerable communities in major banana producing regions and contribute to food and income security through livelihood diversification.			

<p>Outcome 2. Vulnerable communities are increasingly participating in resilience building activities for income diversification</p>	<ul style="list-style-type: none"> • 30% increase in number of farming households, disaggregated by sex of head of household, engaged in banana value addition (baseline established at inception) • 40% increase of banana wine and juice, 40% increase in of banana chips produced in the target area per annum and reflected in the expansion of local and regional markets (baseline established at inception) • # of banana based products from the target region meeting Uganda Bureau of Standards • # of processors meeting minimum requirements (UNBS food Safety and quality standards (US;2002) • # of UNBS certified products from beneficiaries on the market(baseline established at inception) • Number of TC derived plant material purchased/year by smallholder farming households, disaggregated by sex of head of household, from established nurseries/mother gardens (baseline at PPG zero). • Number of farming households, disaggregated by sex of head of household, applying biodigestate residue in fertilisation of banana plantations and adopting improved farm management practices • Increase in number of water harvesting facilities setup in vulnerable communities (baseline established at inception) 	<ul style="list-style-type: none"> • Project, midterm and final reports • UBS certificates awarded to project beneficiary and processors • NAAD, MTIC, MAAIF reports 	<ul style="list-style-type: none"> • It is much more profitable for farmers to participate in value addition activities compared to selling fresh banana bunches on the markets • Commitment of service providers, and beneficiaries to adopt proposed technologies for planting material and banana waste utilisation • Higher profit margins for banana due to value addition activities will provide an incentive for investing in increased banana production incl. disease free plant materials
<p>Component 3: Dissemination of information and expansion of the strategy and project benefits</p>			

<p>Outcome 4. Lessons learned and best practices from policy changes, capacity development initiatives and pilot plants disseminated.</p>	<ul style="list-style-type: none"> • Number of similar project and initiatives started as a direct result of or citing the project • Number of external events, conferences, and show where project results are highlighted 	<ul style="list-style-type: none"> • MAAIF, MWE reports 	<ul style="list-style-type: none"> • Successful implication of proposed project and demonstration of easy of replication
<p>Component 4: Quality Control Monitoring and Evaluation</p>			
<p>Outcome 5. Quality control and efficient monitoring of project intervention to support adoption by CC vulnerable communities</p>	<ul style="list-style-type: none"> • Baseline assessment of measurable indicators in the eight Districts • Number of communities based primary processing /farming groups, district and governmental agency staff, disaggregated by sex, trained to monitor the project(baseline established at inception) 	<ul style="list-style-type: none"> • Baseline assessment study • Project reports • Project training certificate 	<ul style="list-style-type: none"> • Key stakeholders actively participate in the project inception study • Stakeholders at national district and community levels able to implement recommendations of baseline/inception study

* Assets defined as environmental, social, human, financial, and physical capital resource base with which the community is able to adapt to CC. The stronger the asset base the higher the adaptive capacity of the community while a poor asset base indicates high vulnerability to CC and an urgent need for planned adaptation.

Annex 2: Job descriptions



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE FOR WHEN ACTUALLY EMPLOYED PERSONNEL UNDER INDIVIDUAL SERVICE AGREEMENT (ISA)

Title:	International evaluation consultant, team leader
Main Duty Station and Location:	Home-based
Start of Contract (EOD):	1 March 2021
End of Contract (COB):	31 May 2021
Number of Working Days:	33 days spread over the above mentioned period

1. ORGANIZATIONAL CONTEXT

The UNIDO Independent Evaluation Division (ODG/EIO/IED) is responsible for the independent evaluation function of UNIDO. It supports learning, continuous improvement and accountability, and provides factual information about result and practices that feed into the programmatic and strategic decision-making processes. Independent evaluations provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons learned into the decision-making processes at organization-wide, programme and project level. ODG/EIO/IED is guided by the UNIDO Evaluation Policy, which is aligned to the norms and standards for evaluation in the UN system.

2. PROJECT CONTEXT

Detailed background information of the project can be found the terms of reference (TOR) for the terminal evaluation.

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
1. Review project documentation and relevant country background information (national policies and strategies, UN strategies and general economic data); determine key data to be collected and adjust the key data collection instrument if needed; Define technical issues and questions to be addressed prior to the field visit.	<ul style="list-style-type: none"> Adjust table of evaluation questions, depending on country specific context; Prepare a map of stakeholders to interview. 	3	Home-based

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
<p>Determine key data to collect in the field and adjust the key data collection instrument if needed.</p> <p>In coordination with the project manager, the project management team and the technical evaluators, determine the suitable sites to be visited and stakeholders to be interviewed.</p>			
<p>2. Briefing with the UNIDO Independent Evaluation Division, project managers and other key stakeholders.</p> <p>Prepare materials, tools and method to collect data in the field visits by the national consultant- if circumstances allow-, detailed evaluation methodology confirmed, draft theory of change, and tentative agenda.</p> <p>Provide training to national evaluator on the evaluation method to assess project impacts.</p>	<ul style="list-style-type: none"> • The inception report. Submitted to evaluation manager. • Detailed evaluation schedule (incl. list of stakeholders to interview). • Division of evaluation tasks with the team members. • Online survey questionnaire 	4	Home-based, online
<p>3. Participate in interviews, as agreed with the team member online, when possible</p> <p>Take part as a resources person to answer questions and provide clarification to the stakeholder workshops/ focus group meetings on identifying conditions necessary for transformational changes to take place</p> <p>Review meeting and workshop notes prepared by the evaluation team member during field work; provide the team technical advice to collect appropriate data and information in a real time manner; and to keep abreast with feedback from the stakeholders from the field.</p>	<ul style="list-style-type: none"> • Agreement with the team members on the structure and content of the evaluation report and the distribution of writing tasks; 	6	Home-based
<p>5. Prepare the evaluation report, with inputs from the team member, according to the TOR;</p> <p>Coordinate the inputs from the team member and combine with her/his own inputs into the draft evaluation report;</p> <p>Share the evaluation report with UNIDO HQ and national stakeholders for feedback and comments.</p>	<ul style="list-style-type: none"> • Draft evaluation report. 	16	Home-based
<p>4. Prepare and present overall findings and recommendations to the stakeholders online.</p>	<ul style="list-style-type: none"> • Presentation slides, feedback from stakeholders obtained and discussed 	2	Home-based, online
<p>6. Revise the draft project evaluation report based on comments from UNIDO Independent Evaluation Division and stakeholders and edit the language and form of the final version according to UNIDO standards.</p>	<ul style="list-style-type: none"> • Final evaluation report. 	2	Home-based

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education:

Advanced degree in business management, value-chain, environment management, engineering, development studies or related areas.

Technical and functional experience:

- Minimum of 12 years' experience in evaluation of development projects and programmes
- Good working knowledge in environmental management, knowledge of climate change adaptation an advantage
- Knowledge about GEF operational programs and strategies and about relevant GEF policies such as those on project life cycle, M&E, incremental costs, and fiduciary standards
- Experience in the evaluation of GEF projects and knowledge of UNIDO activities an asset
- Knowledge about multilateral technical cooperation and the UN, international development priorities and frameworks
- Working experience in developing countries

Languages:

Fluency in written and spoken English is required. All reports and related documents must be in English and presented in electronic format.

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 programme/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 the completion of her/his contract with the UNIDO Independent Evaluation Division.

REQUIRED COMPETENCIES

Core values:

WE LIVE AND ACT WITH INTEGRITY: work honestly, openly and impartially.

WE SHOW PROFESSIONALISM: work hard and competently in a committed and responsible manner.

WE RESPECT DIVERSITY: work together effectively, respectfully and inclusively, regardless of our differences in culture and perspective.

Core competencies:

WE FOCUS ON PEOPLE: cooperate to fully reach our potential –and this is true for our colleagues as well as our clients. Emotional intelligence and receptiveness are vital parts of our UNIDO identity.

WE FOCUS ON RESULTS AND RESPONSIBILITIES: focus on planning, organizing and managing our work effectively and efficiently. We are responsible and accountable for achieving our results and meeting our performance standards. This accountability does not end with our colleagues and supervisors, but we also owe it to those we serve and who have trusted us to contribute to a better, safer and healthier world.

WE COMMUNICATE AND EARN TRUST: communicate effectively with one another and build an environment of trust where we can all excel in our work.

WE THINK OUTSIDE THE BOX AND INNOVATE: To stay relevant, we continuously improve, support innovation, share our knowledge and skills, and learn from one another.



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE FOR WHEN ACTUALLY EMPLOYED PERSONNEL UNDER INDIVIDUAL SERVICE AGREEMENT (ISA)

Title:	International Climate Change Adaption Advisor
Main Duty Station and Location:	Home-based
Start of Contract (EOD):	1 March 2021
End of Contract (COB):	30 June 2021
Number of Working Days:	2 days spread over the above mentioned period

3. ORGANIZATIONAL CONTEXT

The UNIDO Independent Evaluation Division (ODG/EIO/IED) is responsible for the independent evaluation function of UNIDO. It supports learning, continuous improvement and accountability, and provides factual information about result and practices that feed into the programmatic and strategic decision-making processes. Independent evaluations provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons learned into the decision-making processes at organization-wide, programme and project level. ODG/EIO/IED is guided by the UNIDO Evaluation Policy, which is aligned to the norms and standards for evaluation in the UN system.

4. PROJECT CONTEXT

Detailed background information of the project can be found the terms of reference (TOR) for the terminal evaluation.

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
1. Review the project document and mid-term review report, focusing on Climate Change Adaptation perspectives 2. Critically review the evaluation team’s Inception Report and advise the team on questions and information that the team should answer and collect from the field related to CCA and resilience. 3. Advise the evaluation team, through online meeting, once in a while, on evaluating the project	<ul style="list-style-type: none"> • Comments and suggestions on evaluation questions and information to be collected in the field on CCA and resilience. • Comments and suggestions to better reflect CCA into the assessment in the draft evaluation report. 	2	Home-based

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
<p>with CCA lens to make sure the team is on track to cover CCA perspectives.</p> <p>4. Critically review the draft evaluation report and provide comments and suggestions on how to reflect CCA and resilience issues in the assessment.</p>			

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education:

Advanced degree in business management, value-chain, environment management, engineering, development studies or related areas.

Technical and functional experience:

- Minimum of 12 years’ experience in environment management and Climate Change adaptation and resilience
- Good working knowledge in environmental management and climate change adaptation
- Knowledge about GEF operational programs and strategies and about relevant GEF policies such as those on project life cycle, M&E, incremental costs, and fiduciary standards
- Experience in the evaluation of GEF projects and knowledge of UNIDO activities an asset
- Knowledge about multilateral technical cooperation and the UN, international development priorities and frameworks
- Working experience in developing countries

Languages:

Fluency in written and spoken English is required. All reports and related documents must be in English and presented in electronic format.

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 programme/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 the completion of her/his contract with the UNIDO Independent Evaluation Division.

REQUIRED COMPETENCIES

Core values:

- WE LIVE AND ACT WITH INTEGRITY: work honestly, openly and impartially.
- WE SHOW PROFESSIONALISM: work hard and competently in a committed and responsible manner.
- WE RESPECT DIVERSITY: work together effectively, respectfully and inclusively, regardless of our differences in culture and perspective.

Core competencies:

WE FOCUS ON PEOPLE: cooperate to fully reach our potential –and this is true for our colleagues as well as our clients. Emotional intelligence and receptiveness are vital parts of our UNIDO identity.

WE FOCUS ON RESULTS AND RESPONSIBILITIES: focus on planning, organizing and managing our work effectively and efficiently. We are responsible and accountable for achieving our results and meeting our performance standards. This accountability does not end with our colleagues and supervisors, but we also owe it to those we serve and who have trusted us to contribute to a better, safer and healthier world.

WE COMMUNICATE AND EARN TRUST: communicate effectively with one another and build an environment of trust where we can all excel in our work.

WE THINK OUTSIDE THE BOX AND INNOVATE: To stay relevant, we continuously improve, support innovation, share our knowledge and skills, and learn from one another.



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE FOR WHEN ACTUALLY EMPLOYED PERSONNEL UNDER INDIVIDUAL SERVICE AGREEMENT (ISA)

Title:	National evaluation consultant
Main Duty Station and Location:	Home-based
Mission/s to:	Travel to potential sites within Uganda
Start of Contract (EOD):	1 March 2021
End of Contract (COB):	31 May 2021
Number of Working Days:	33 days spread over the above mentioned period

ORGANIZATIONAL CONTEXT

The UNIDO Independent Evaluation Division (ODG/EIO/IED) is responsible for the independent evaluation function of UNIDO. It supports learning, continuous improvement and accountability, and provides factual information about result and practices that feed into the programmatic and strategic decision-making processes. Independent evaluations provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons learned into the decision-making processes at organization-wide, programme and project level. ODG/EIO/IED is guided by the UNIDO Evaluation Policy, which is aligned to the norms and standards for evaluation in the UN system.

PROJECT CONTEXT

The national evaluation consultant will evaluate the projects according to the terms of reference (TOR) under the leadership of the team leader (international evaluation consultant). S/he will perform the following tasks:

MAIN DUTIES	Concrete/measurable outputs to be achieved	Expected duration	Location
Desk review 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 English (questionnaires, logic models);	Evaluation questions, questionnaires/interview guide, logic models adjusted to ensure understanding in the national context; A stakeholder mapping, in coordination with the project team.	4 days	Home-based

<u>MAIN DUTIES</u>	Concrete/measurable outputs to be achieved	Expected duration	Location
Adjust the evaluation framework and Theory of Change in order to ensure their understanding in the local context.			
<p>Carry out preliminary analysis of pertaining technical issues determined with the Team Leader.</p> <p>In close coordination with the project staff team verify the extent of achievement of project results prior to field visits.</p> <p>Develop a brief analysis of key contextual conditions relevant to the project</p>	<ul style="list-style-type: none"> • Report addressing technical issues and question previously identified with the Team leader • Tables that present extent of achievement of project outputs • Brief analysis of conditions relevant to the project 	5 days	Home-based
<p>Support the Team Leader in prepare materials, tools and method to collect data in the field.</p> <p>Coordinate the evaluation mission agenda, ensuring and setting up the required meetings with project partners and government counterparts, in close cooperation with project counterparts in the field.</p>	<ul style="list-style-type: none"> • Key tools and materials • Detailed evaluation schedule. • List of stakeholders to interview during the field missions. 	5 days	Home-based, online
<p>Lead and conduct the field mission to meet and discuss with project key-stakeholders and beneficiaries in project sites, to the extent possible these meetings should be organized so that the Team Leader could participate online.</p> <p>Consult with the Team Leader on the meeting/interview protocol and guide to collect data and information in the format agreed in advance with the team leader.</p> <p>Design, administer, and analyze open-ended interviews and focus groups to gather qualitative information</p> <p>Facilitate stakeholder workshops and focus group meetings</p> <p>Prepare meeting notes and data based on the format requested by the team leader.</p> <p>Close exchange and discussion with the team leader on data and information collected from the field</p>	<ul style="list-style-type: none"> • Agreement with the Team Leader on the structure and content of the evaluation report and the distribution of writing tasks. • Systematic data and information from the field 	12 days (including travel days)	Uganda (the sites to be identified later)
<p>Follow up with stakeholders regarding additional information promised during interviews</p> <p>Prepare inputs to help fill in information and analysis gaps (mostly related to technical issues) and to prepare tables to be included in the evaluation report as agreed with the Team Leader.</p> <p>Revise the draft project evaluation report based on comments from UNIDO Independent Evaluation Division and stakeholders and proof read the final version.</p>	<ul style="list-style-type: none"> • Part of draft evaluation report prepared. 	7 days	Home-based

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education: Advanced university degree in economics, agriculture, business management, environmental science, engineering or other relevant discipline like developmental studies.

Technical and functional experience:

- Minimum of 12 years of experience in evaluation, monitoring and evaluation.
- Excellent knowledge and competency in the field of livelihoods development, agriculture, business management or environmental management.
- Good experience in facilitating stakeholder workshops, focus group.
- Experience and knowledge in climate resilience and agriculture value chain analysis is an asset.
- Familiarity and experience in development projects and programmes and working experience with international development agencies is a must.

Languages: Fluency in written and spoken English and the local language and is required.

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 programme/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 the completion of her/his contract with the UNIDO Independent Evaluation Division.

REQUIRED COMPETENCIES

Core values:

WE LIVE AND ACT WITH INTEGRITY: work honestly, openly and impartially.

WE SHOW PROFESSIONALISM: work hard and competently in a committed and responsible manner.

WE RESPECT DIVERSITY: work together effectively, respectfully and inclusively, regardless of our differences in culture and perspective.

Core competencies:

WE FOCUS ON PEOPLE: cooperate to fully reach our potential –and this is true for our colleagues as well as our clients. Emotional intelligence and receptiveness are vital parts of our UNIDO identity.

WE FOCUS ON RESULTS AND RESPONSIBILITIES: focus on planning, organizing and managing our work effectively and efficiently. We are responsible and accountable for achieving our results and meeting our performance standards. This accountability does not end with our colleagues and supervisors, but we also owe it to those we serve and who have trusted us to contribute to a better, safer and healthier world.

WE COMMUNICATE AND EARN TRUST: communicate effectively with one another and build an environment of trust where we can all excel in our work.

WE THINK OUTSIDE THE BOX AND INNOVATE: To stay relevant, we continuously improve, support innovation, share our knowledge and skills, and learn from one another.

Annex 3: Outline of an in-depth project evaluation report

Executive summary (maximum 5 pages)

- Evaluation purpose and methodology
- Key findings
- Conclusions and recommendations
- Project ratings
- Tabular overview of key findings – conclusions – recommendations

1. Introduction

- 1.1. Evaluation objectives and scope
- 1.2. Overview of the Project Context
- 1.3. Overview of the Project
- 1.4. Theory of Change
- 1.5. Evaluation Methodology
- 1.6. Limitations of the Evaluation

2. Project's contribution to Development Results - Effectiveness and Impact

- 2.1. Project's achieved results and overall effectiveness
- 2.2. Progress towards impact
 - 2.2.1. Behavioral change
 - 2.2.1.1. Economically competitive - Advancing economic competitiveness
 - 2.2.1.2. Environmentally sound – Safeguarding environment
 - 2.2.1.3. Socially inclusive – Creating shared prosperity
 - 2.2.2. Broader adoption
 - 2.2.2.1. Mainstreaming
 - 2.2.2.2. Replication
 - 2.2.2.3. Scaling-up

3. Project's quality and performance

- 3.1. Design
- 3.2. Relevance
- 3.3. Efficiency
- 3.4. Sustainability
- 3.5. Gender mainstreaming

4. Performance of Partners

- 4.1. UNIDO
- 4.2. National counterparts
- 4.3. Donor

5. Factors facilitating or limiting the achievement of results

- 5.1. Monitoring & evaluation
- 5.2. Results-Based Management
- 5.3. Other factors
- 5.4. Overarching assessment and rating table

6. Conclusions, recommendations and lessons learned

- 6.1. Conclusions
- 6.2. Recommendations
- 6.3. Lessons learned
- 6.4. Good practices

Annexes (to be put online separately later)

- Evaluation Terms of Reference
- Evaluation framework
- List of documentation reviewed
- List of stakeholders consulted
- Project logframe/Theory of Change
- Primary data collection instruments: evaluation survey/questionnaire
- Statistical data from evaluation survey/questionnaire analysis

Annex 4: Checklist on evaluation report quality

Project Title:

UNIDO ID:

Evaluation team:

Quality review done by:

Date:

Report quality criteria	UNIDO IED 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 5: 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?

Annex 6. OECD Revised and Updated Evaluation Criteria

The OECD Development Assistance Committee (DAC) first developed evaluation criteria in 1991 for evaluating international development co-operation. They have since become a cornerstone of evaluation practice and are widely used, beyond the DAC. The 2018 UNIDO Evaluation Manual was based on the OECD-DAC criteria⁹.

In 2019 the criteria were revised to improve the quality and usefulness of evaluation and strengthen the contribution of evaluation to sustainable development. The adaptation involved a far-reaching global consultation and built on learning gathered over more than 25 years of applying the criteria. The update also reflected new policy priorities including the 2030 Agenda for Sustainable Development and the Paris Climate Agreement. The adapted definitions are clearer and will support more rigorous, nuanced analysis, including of equity issues and synergies, in line with current policy priorities. This adaptation also addresses confusion, by adding an introduction on the intended purpose of the criteria and guiding principles for use.¹⁰

The new globally adopted criteria now include six evaluation criteria – relevance, coherence, effectiveness, efficiency, impact, and sustainability – and two principles for their use. There have also been some adjustments in definitions and guidelines of the existing criteria.

Given that UNIDO follows the OECD-DAC criteria, this evaluation will follow the updated criteria and has included coherence in the standard UNIDO evaluation rating table and will include analysis of coherence during the evaluation based on the OECD-DAC guidance. This is summarised below.

PRINCIPLES FOR USE There are two main principles that guide the use of the criteria:

- 1) The criteria should be applied thoughtfully to support high quality, useful evaluation. They should be **contextualized** – understood in the context of the individual evaluation, the intervention being evaluated, and the stakeholders involved.
- 2) Use of the criteria **depends on the purpose** of the evaluation. The criteria should not be applied mechanistically. Instead, they should be covered according to the needs of the relevant stakeholders and the context of the evaluation.¹¹

NEW CRITERION - Coherence: How well does the intervention fit? The extent to which other interventions (particularly policies) support or undermine the intervention, and vice versa. Includes internal coherence and external coherence:

Internal coherence addresses the synergies and interlinkages between the intervention and other interventions carried out by the same institution/government, as well as the consistency of the intervention with the relevant international norms and standards to which that institution/government adheres.

External coherence considers the consistency of the intervention with other actors' interventions in the same context. This includes complementarity, harmonization and co-ordination with others, and the extent to which the intervention is adding value while avoiding duplication of effort.¹²

⁹ UNIDO Independent Evaluation Division – Evaluation Manual - Page 18, 3.1 Evaluation Criteria.

¹⁰ Ibid.

¹¹ <https://www.oecd.org/dac/evaluation/evaluation-criteria-flyer-2020.pdf>

¹² <https://www.oecd.org/dac/evaluation/revised-evaluation-criteria-dec-2019.pdf>

The Coherence criterion captures a perspective that was not covered previously. A lack of coherence can lead to duplication of efforts and undermine overall progress. Adding the criteria will help raise the bar on analysis of these important issues.

Including coherence also incentivizes evaluators to understand the role of an intervention within a particular system (organization, sector, thematic area, country), as opposed to taking an exclusively intervention- or institution-centric perspective.¹³ This is in line with the articulated principles for applying the criteria.

¹³ Ibid.