TERMS OF REFERENCE

Terminal Evaluation of the UNEP/GEF project

Delivering the Transition to Energy Efficient Lighting [GEF ID 5299]

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

GEF Project ID/SMA ID[1]:	**GEF 5299:** Delivering the Transition to Energy Efficient Lighting		
Implementing Agency (UNEP Division/Branch/Unit):	UNEP, Economy and Industry Division, Energy and Climate Branch, Climate Mitigation Unit	**Executing Agency:**	Ministry of Hydrocarbons and Energy (MHE); Ministry of Environment and Water (MMAyA).
Sources of Funding (Co-finance):	***Country[2](ies):*** Bolivia	***Institution[3] Name/Type:*** Ministry of Hydrocarbon and Energy (Government) Ministry of Environment and Water (Government) Municipality of La Paz (Government) Osram (Private Sector) Philips Lighting (Private Sector) National Lighting Test Center, China (Private Sector) UNEP (UN body)	
Relevant SDG(s):	**SDG 13:** Take urgent action to combat climate change and its impacts. **Target 13.2:** Integrate climate change measures into national policies, strategies and planning. **Indicator 13.2.2:** Total greenhouse gas emissions per year		
MTS (at approval):			
POW Direct Outcome(s) number/reference *(applicable for projects approved from 2022):* **OR** **POW Output(s) number/reference *(applicable for projects approved pre-2022)***	***POW Direct Outcome:*** **Outcome 1B:** Countries and stakeholders have increased capacity, finance and access to technologies to deliver on the adaptation and mitigation goals of the Paris Agreement. **Indicators** (i) Number of national, subnational and private sector actors that adopt climate change mitigation and/or adaptation and disaster risk reduction strategies and policies with UNEP support (ii) Amounts provided and mobilized in $ per year in relation to the continued existing collective mobilization goal of the $100 billion commitment through to 2025 with UNEP support	**MTS 2025 Outcome(s) number/reference *(applicable for projects approved from 2022):*** **OR** **POW Expected Accomplishment(s) number/reference *(applicable for projects approved pre-2022):***	***MTS 2025 Outcome:*** **1B** Countries and stakeholders have increased capacity, finance and access to technologies to deliver on the adaptation and mitigation goals of the Paris Agreement. **3A** Human health and environmental outcomes are optimized through enhanced capacity and leadership in the sound management of chemicals and waste. **POW Expected Accomplishment:** **1.8** Societal choices have shifted towards lower-carbon products and services and sustainable lifestyles. **3.1** Regional and national integrated policy has shifted towards the sound management of chemicals and waste.
	POW Output:		

[1] SMA refers to the ID provided by the Integrated Planning, Management and Reporting Solution (IPMR) system, which was introduced by UNEP in July 2023.
[2] Where applicable, list countries who have provided project funds and/or co-finance.
[3] Indicate where funding institutions are any/all of the following: Foundation/NGO; Private Sector; UN Body; Multilateral Fund; Environment Fund.

Sub-programme:	Climate Change Mitigation	**Programme Coordination Project:**	
UNEP approval date:	24 May 2016	**GEF approval date:**	13 June 2016
GEF Operational Programme #:	GEF 5	**GEF Strategic Priority:**	Climate Change
Project type:	Full-size Project	**Focal Area(s):**	Climate Change
***Expected* start date:**	30 April 2019	**Actual start date:**	March 2021
***Planned* completion date:**	31 December 2021	**Actual operational completion date:**	31 December 2023
***Planned* total project budget at approval:**	US$ 16,526,936	**Actual total expenditures reported as of [30 September 2023]:**	US$ 5,489,786
GEF grant allocation:	US$ 3,059,361	**GEF grant expenditures reported as of [30 September 2023]:**	US$ 1,440,659
***Expected* Medium-Size Project/Full-Size Project co-financing:**	**Cash:** **In-kind:** US$ 13,467,575	**Secured Medium-Size Project/Full-Size Project co-financing:**	**Cash:** **In-kind:** US$ 4,049,127
No. of formal project revisions:	2	**Date of last approved project revision:**	28 September 2022
No. of Steering Committee meetings:	4	**Date of Last Steering Committee meeting:**	20 September 2023
Mid-term Review/ Evaluation *(planned date):*	August 2022	**Mid-term Review/ Evaluation (actual date):**	May 2023
Terminal Evaluation *(planned date):*	31 December 2021	**Terminal Evaluation (actual date):**	September 2024
Coverage - Country(ies):	Bolivia	**Coverage - Region(s):**	Latin America and Caribbean
Dates of previous project phases:	Not Applicable	**Status of future project phases:**	Not available

2. Project Rationale

1. Reducing electricity demand and consumption through energy efficiency measures in Bolivia is particularly important because most of the electricity is generated from non-renewable fossil fuels. For example, in 2012, the total installed capacity for electricity generation in Bolivia was 1.88 GW, of which 73.7% was thermal (primarily natural gas), and 26.3% hydroelectric. Total electricity production in the same year amounted to 7,661 GWh with consumption at 6,614 GWh.

2. Previous government efforts aimed at energy efficiency include the National Energy Efficiency Program that was launched with a campaign on free replacement of incandescent bulbs with compact fluorescent ones. The first phase of this program, from mid-2008 to mid-2009, consisted of the distribution of around 6.6 million Compact Fluorescent Lamps (CFLs) rated 18 Watts to 1.3 million Bolivian households. According to *Comité Nacional de Despacho de Carga* (CNDC), energy consumption decreased enabling energy savings of 0.44 GWh/day and 72 MW of peak demand. It was followed by a second phase (2011-12) in which about 10 million lamps were distributed. In parallel, awareness campaigns for the rational use of electricity such as: "*Move your electricity consumption off-peak*" and "*If you turn the light off, you won't pay for it*" were also undertaken.

3. However, according to regional lighting experts, these distribution campaigns did not lead to a total transformation of the market nor a behaviour change, and a significant percentage of consumers still selected their lighting products based on the initial purchasing cost and not the operational cost. Moreover, standards or regulations such as the absence of test laboratories legally established to carry out energy performance tests for household appliances, lamps and industrial equipment, and mandatory consumer labels for CFLs impeded consumers from distinguishing quality CFLs from substandard products thereby affecting sustainability of lamp replacement in the long run. In absence of the above requirements, consumers wouldn't know the most efficient lamp models available on the market in terms of performance, cost and lifetime.

4. Apart from replacement programs and awareness campaigns, strengthening the legal framework to phase out the import of incandescent lamps through customs policies by increasing import taxes on incandescent lamps and lowering customs taxes on efficient lamps was also implemented. However, prices for incandescent lamps were still lower than good quality Compact Fluorescent Lamps (CFLs), and in a country with economic difficulties such as Bolivia, the initial cost is a key factor of decision making on which

lamp to buy. This was further exacerbated by the limited public awareness of the financial benefits of energy efficient lighting and the inability to identify quality CFLs as described earlier.

5. Despite the above efforts, some challenges persisted. These include limited institutional capacity (Ministry of Hydrocarbons and Energy and the Ministry of Environment and Water of Bolivia) in terms of staff, knowledge and financial resources, to formulate an efficient lighting strategy and to define policies for the prevention and control of toxic solid waste management, respectively with the latter manifested by weak environmental management of spent lamps.

6. The “Delivering the transition to energy-efficient lighting” project was therefore designed and implemented as a timely intervention to contribute to addressing some of the above problems.

3. Project Results Framework

7. The “Delivering the transition to energy-efficient lighting” project was aimed at accelerating the transition to energy efficient lighting technologies in Bolivia through the development of a national efficient lighting policy and practical innovative interventions that ensure success of the transition, thereby reducing electricity demand and consumption and the related Green House Gas (GHG) emissions.

8. The project components are outlined below. The detailed project result framework forms Annex 2: Project Results Framework of this document.

Component 1: National policy and regulation development to promote the rapid transition to efficient lighting.

Component 2: Creation of monitoring, verification and enforcement (MVE) capacities to ensure effective transition to efficient lighting.

Component 3: Ensuring environmentally sound management for a sustainable transition to efficient lighting, including a national plan to collect, recycle and/or responsibly dispose of spent lighting products that may contain valuable and/or hazardous materials;

Component 4: Lighting innovation: accelerating the use of Solid-State Lighting (including light emitting diodes (LEDs)) and controls, mainly through a demonstration program for locally appropriate LEDs in three municipalities.

4. Executing Arrangements

9. The project was funded by the Global Environment Facility (GEF) with the United Nations Environment Programme (UNEP) acting as the GEF Implementing Agency and responsible for the supervision of project execution to ensure consistency with GEF and UNEP policies and procedures and for overall project reporting. UNEP (through the Climate Mitigation Unit) implemented the project together with three executing agencies: The government of Bolivia's Ministry of Hydrocarbons and Energy (MHE), Ministry of Environment and Water (MMAyA) and United for Efficiency (U4E). The structure for project implementation and supervision at project approval included the Project Steering Committee (PSC)[4], the Project Management Unit (PMU), National Project Director (NPD), the Technical Working Group (TWG) and International Technical Support.

Table 1: Roles and responsibilities for Project Execution

	Roles and Responsibilities
National Project Director (NPD)	• Assume overall responsibility for the Project on behalf of the national Government • Convane and chair the PSC at least once a year to discuss the project performance and provide future guidance.
Project Steering Committee (PSC)	• Guide and oversee the technical progress and performance of the Project, • Enhance and optimize the contributions of various partner organizations through coordination of all activities and inputs.
Project Management Unit (PMU)	• Responsible for the day-to-day project operations, financial accounts, periodic reporting to UNEP and the PSC and for allocation of the GEF grant according to the quarterly and annual work plans and budgets in coordination with UNEP and the MHE
Technical Working Group (TWG)	• Provide a framework for interacting with stakeholders at the institutional level (government entities participating in the PSC, power distribution utilities, lighting industry representatives, importers/distributors and retailers, consumer organizations, universities/institutes and NGOs).

[4] According to the Project Mid Term Review report (paragraph 5) the PSC was never established.

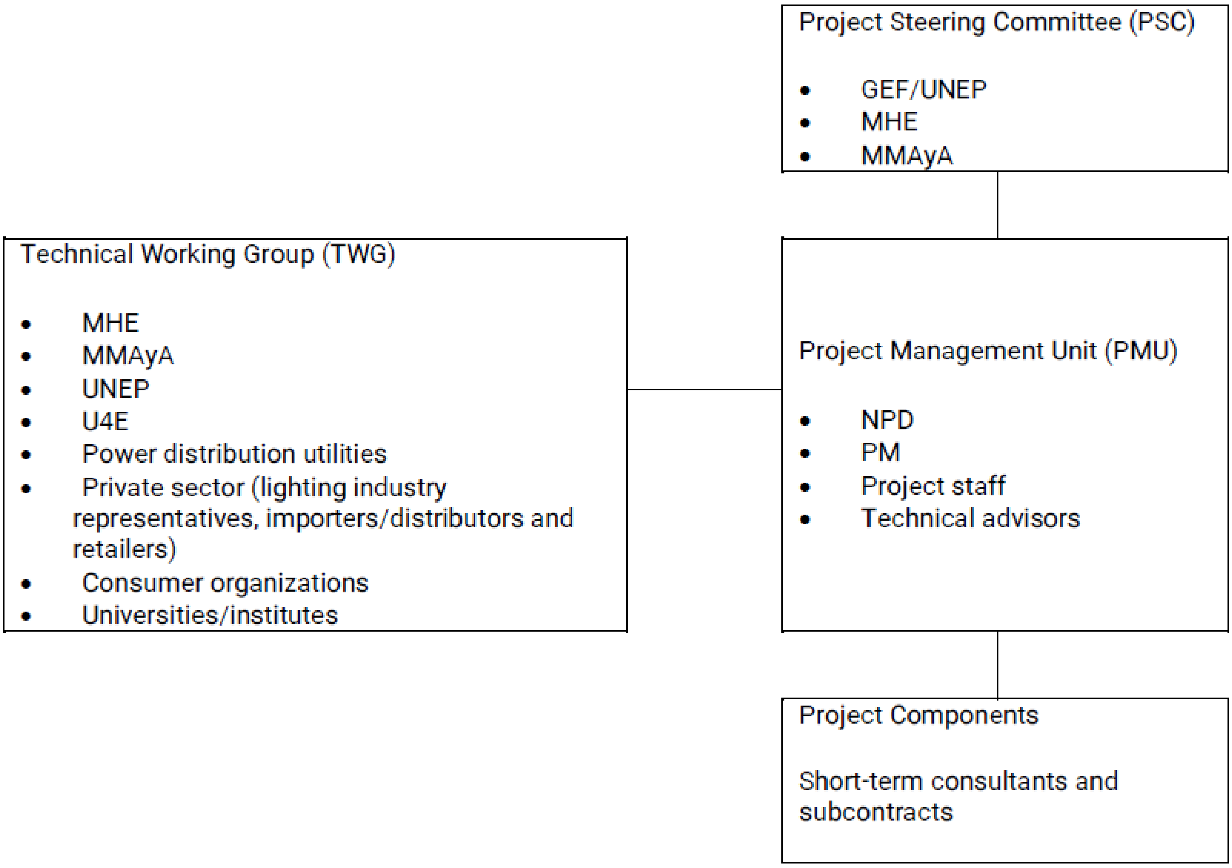

Figure 1: Project Implementation Structure

5. Project Cost and Financing

10. The total project budget at project design and approval was US$ 16,526,936 comprised of US$ 3,059,361 GEF financing and US$ 13,467,575 In-kind co-financing. Details are tabulated below.

Table 2: Total Project Budget

Project Component	Expected Outcomes	Trust Fund	Grant Amount ($)	Confirmed Co-financing ($)	Total (US$)
1. National policy and regulation development to promote the rapid transition to efficient lighting.	1.1. National efficient lighting strategy employing the integrated policy approach to phasing out inefficient incandescent lamps endorsed.	GEFTF	274,510	1,000,000	1,274,510
2. Creation of monitoring, verification and enforcement (MVE) capacities to ensure effective transition to efficient lighting.	2.1 Capacities to Monitor, Verify and Enforce energy efficient lighting products are created in Bolivia.	GEFTF	868,752	1,000,000	1,868,752
3. Ensuring environmentally sound management for a sustainable transition to efficient lighting.	3.1 Government of Bolivia is able to enact a national plan to collect, recycle and/or responsibly dispose of spent lighting products that may contain valuable and/or hazardous materials.	GEFTF	945,780	4,500,000	5,445,780
4. Lighting innovation: accelerating the use of Solid-State	4.1 Consensus reached by consumers and decision makers in government and private sector on the increased use of solid-state lighting and lighting controls	GEF	315,319	2,000,000	2,315,319

Project Component	Expected Outcomes	Trust Fund	Grant Amount ($)	Confirmed Co-financing ($)	Total (US$)
Lighting (including light emitting diodes (LEDs)) and controls.	in the domestic, commercial/industrial and outdoor lighting applications.				
	4.2 Municipal governments made aware of the benefits of advanced lighting systems through demonstration programs of locally appropriate street lighting LEDs and controls.	GEFTF	505,000	4,786,661	5,291,661
Subtotal			2,909,361	13,286,661	16,196,022
Project Management Cost (PMC)[5]			150,000	180,914	330,914
Total project costs			**3,059,361**	**13,467,575**	**16,526,936**

Table 3: Sources of confirmed project co-financing

Sources of Co-financing	Name of Co-financier (source)	Type of Co-financing	Co-financing Amount ($)
National Government	Ministry of Hydrocarbons and Energy	In-kind	7,390,000
National Government	Ministry of Environment and Water	In-kind	4,000,000
Public Sector	Municipality of La Paz	In-kind	197,575
Private sector	Philips	In-kind	1,500,000
Private sector	National Lighting Test Center, China	In-kind	300,000
International Agency	UNEP	In-kind	80,000
Total Co-financing			**13,467,575**

6. Implementation Issues

11. Two extensions to the project were requested and approved on 22 November 2021 and 28 August 2022. The first amendment was aimed at extension of the technical completion date for the project while the second amendment revised the project budget.

12. A mid-term review of the project conducted between May 2023 and July 2023 rated the project moderately unsatisfactory. The suboptimal performance of the project was attributed to, among others, the COVID-19 pandemic and several staff changes in MHE leading to delays in project implementation.

[5] PMC should be charged proportionately to focal areas based on focal area project grant amount in Table D below.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

7. Objective of the Evaluation

13. In line with the UNEP Evaluation Policy[6] and the UNEP Programme Manual[7], the Terminal Evaluation is undertaken at operational completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The Evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and Bolivia's Ministry of Hydrocarbons and Energy (MHE), Ministry of Environment and Water (MMAyA) and United for Efficiency (U4E). Therefore, the Evaluation will identify lessons of operational relevance for future project formulation and implementation, especially where a second phase of the project is being considered. Recommendations relevant to the whole house may also be identified during the evaluation process.

8. Key Evaluation Principles

14. Evaluation findings and judgements will be based on **sound evidence and analysis**, clearly documented in the Evaluation Report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

15. **The "Why?" Question.** As this is a Terminal Evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention will be given to learning from the experience. Therefore, the "*why?*" question should be at the front of the consultants' minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultant(s) needs to go beyond the assessment of "*what*" the project performance was and make a serious effort to provide a deeper understanding of "*why*" the performance was as it was (i.e. what contributed to the achievement of the project's results). This should provide the basis for the lessons that can be drawn from the project.

16. **Attribution, Contribution and Credible Association:** In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for evaluations. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

17. **Communicating evaluation results.** A key aim of the Evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant(s) should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the Main Evaluation Report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant(s) will plan with the Evaluation Manager which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of an Evaluation Brief or interactive presentation.

9. Key Strategic Questions

18. In addition to the evaluation criteria outlined in Section 10 below, the Evaluation will address the **strategic questions** listed below. These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution. Also included are five questions that are required when reporting in the GEF Portal and these must be addressed in the TE.

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6 https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies
7 https://wecollaborate.unep.org

Q1: In what ways, and to what extent, was gender mainstreamed[8] in the implementation and monitoring of the project?

Q2: To what extent were learnings from Terminal Evaluations of previous projects incorporated into this project's design? In what ways, and to what extent, were the recommendations from the Mid Term Review actioned upon? To what extent did the project use or upscale tools or methodologies previously developed by other UNEP projects?

Q3: What changes were made to adapt to the effects of COVID-19 and how might any changes have affected the project's performance?

Q4: In which ways and to what extent was the private sector engaged in implementation of the project and what could have been done better?

19. Address the questions required for the GEF Portal in the appropriate parts of the report and provide a **summary of the findings in the Conclusions section of the report**:

a) Under Monitoring and Reporting/Monitoring of Project Implementation:

What was the performance at the project's completion against Core Indicator Targets? (For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided[9]).

b) Under Factors Affecting Performance/Stakeholder Participation and Cooperation:

What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)*

c) Under Factors Affecting Performance/Responsiveness to Human Rights and Gender Equality:

What were the completed gender-responsive measures and, if applicable, actual gender result areas? *(This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators* contained in the project results framework or gender action plan or equivalent)

d) Under Factors Affecting Performance/Environmental and Social Safeguards:

What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. *(Any supporting documents gathered by the Consultant during this review should be shared with the Task Manager for uploading in the GEF Portal)*

e) Under Factors Affecting Performance/Communication and Public Awareness:

What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

10. Evaluation Criteria

20. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria. A weightings table in excel format will be provided by the Evaluation Manager to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The Evaluation Consultant(s) can propose other evaluation criteria as deemed appropriate.

A. Strategic Relevance

[8] Gender mainstreaming is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality.

[9] This is not applicable for Enabling Activities

21. The Evaluation will assess the extent to which the activity is suited to the priorities and policies of the donors, implementing regions/countries and the target beneficiaries. The Evaluation will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. Alignment to the UNEP Medium Term Strategy[10] (MTS), Programme of Work (POW) and Strategic Priorities

22. The Evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building[11] (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

ii. Alignment to Donor/GEF/Partner Strategic Priorities

23. Donor, including GEF, strategic priorities will vary across interventions. GEF priorities are specified in published programming priorities and focal area strategies. The Evaluation will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

iii. Relevance to Global, Regional, Sub-regional and National Environmental Priorities

24. The Evaluation will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. The extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented will be considered. Examples may include: UN Development Assistance Frameworks (UNDAF), national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no one behind.

iv. Complementarity with Relevant Existing Interventions/Coherence12

25. An assessment will be made of how well the project, either at design stage or during the project inception or mobilization[13], took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) that address similar needs of the same target groups. The Evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equality
- Country ownership and driven-ness

B. Quality of Project Design

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[10] UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents

[11] http://www.unep.fr/ozonaction/about/bsp.htm

[12] This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

[13] A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

26. The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established. The complete Project Design Quality template should be annexed in the Evaluation Inception Report. Later, the overall Project Design Quality rating[14] should be entered in the final evaluation ratings table (as item B) in the Main Evaluation Report and a summary of the project's strengths and weaknesses at design stage should be included within the body of the report.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equality

C. Nature of External Context

27. At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval[15]). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. A justification for such an increase must be given.

D. Effectiveness

i. Availability of Outputs[16]

28. The Evaluation will assess the project's success in producing the programmed outputs and making them available to the intended beneficiaries as well as its success in achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the Theory of Change (TOC). In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision[17]

ii. Achievement of Project Outcomes[18]

29. The achievement of project outcomes is assessed as performance against the project outcomes as defined in the reconstructed[19] Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs,

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[14] In some instances, based on data collected during the evaluation process, the assessment of the project's design quality may change from Inception Report to Main Evaluation Report.

[15] *Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management by the project team. From March 2020 this should include the effects of COVID-19.*

[16] *Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)*

[17] *In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.*

[18] *Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)*

[19] *All submitted UNEP project documents are required to present a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any formal changes made to the project design.*

a table can be used where substantive amendments to the formulation of project outcomes is necessary to allow for an assessment of performance. The Evaluation should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equality
- Communication and public awareness

iii. Likelihood of Impact

30. Based on the articulation of long-lasting effects in the reconstructed TOC *(i.e. from project outcomes, via intermediate states, to impact),* the Evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

31. The Evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g. will vulnerable groups such as those living with disabilities and/or women and children, be disproportionally affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.

32. The Evaluation will consider the extent to which the project has played a catalytic role[20] or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly as in a project with a demonstration component or implicitly as expressed in the drivers required to move to outcome levels) and as factors that are likely to contribute to greater or long-lasting impact.

33. Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-lasting or broad-based changes. However, the Evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partner(s).

Factors affecting this criterion may include:

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equality
- Country ownership and driven-ness
- Communication and public awareness

[20] *The terms catalytic effect, scaling up and replication are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. Catalytic effect is associated with triggering additional actions that are not directly funded by the project – these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. Scaling up and Replication require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. Scaling up suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while Replication suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.*

E. Financial Management

34. Financial management will be assessed under three themes: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The Evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output/component level and will be compared with the approved budget. The Evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The Evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The Evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

35. Under the efficiency criterion the Evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution.

36. Focusing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The Evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The Evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

37. The Evaluation will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities[21] with other initiatives, programmes and projects etc. to increase project efficiency.

38. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders' participation and cooperation

[21] *Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.*

G. Monitoring and Reporting

39. The Evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

i. Monitoring Design and Budgeting

40. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART[22] results towards the provision of the project's outputs and achievement of project outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities.. In particular, the Evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The Evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for Mid-Term and Terminal Evaluation/Review should be discussed if applicable.

ii. Monitoring of Project Implementation

41. The Evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups (including gendered, marginalised or vulnerable groups, such as those living with disabilities) in project activities. It will also consider the quality of the information generated by the monitoring system during project implementation and how it was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The Evaluation should confirm that funds allocated for monitoring were used to support this activity.

42. The performance at project completion against Core Indicator Targets should be reviewed. For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided.

iii. Project Reporting

43. UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The Evaluation will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

<u>Factors affecting this criterion may include:</u>

- Quality of project management and supervision
- Responsiveness to human rights and gender equality (e.g disaggregated indicators and data)

H. Sustainability

44. Sustainability[23] is understood as the probability of the benefits derived from the achievement of project outcomes being maintained and developed after the close of the intervention. The Evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (i.e. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an <u>assessment of bio-physical factors</u> that may affect the sustainability of project outcomes may also be included.

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[22] *SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.*

[23] *As used here, 'sustainability' means the long-lasting maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)*

i. Socio-political Sustainability

45. The Evaluation will assess the extent to which social or political factors support the continuation and further development of the benefits derived from project outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the Evaluation will consider whether individual capacity development efforts are likely to be sustained.

ii. Financial Sustainability

46. Some project outcomes, once achieved, do not require further financial inputs, e.g., the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g., to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g., continuation of a new natural resource management approach. The Evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where a project's outcomes have been extended into a future project phase. <u>Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.</u>

iii. Institutional Sustainability

47. The Evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the Evaluation will consider whether institutional capacity development efforts are likely to be sustained.

<u>Factors affecting this criterion may include:</u>

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equality (e.g., where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

I. Factors Affecting Project Performance and Cross-Cutting Issues

(These factors are rated in the ratings table but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above. If these issues have not been addressed under the evaluation criteria above, then independent summaries of their status within the evaluated project should be given.)

i. Preparation and Readiness

48. This criterion focuses on the inception or mobilisation stage of the project (i.e., the time between project approval and first disbursement). The Evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the Evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. *(Project preparation is included in the template for the assessment of Project Design Quality).*

ii. Quality of Project Management and Supervision

49. In some cases 'project management and supervision' may refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects[24], it may refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UNEP. The performance of parties playing different roles should be discussed and a rating provided for both types of supervision (UNEP/Partner/Executing Agency) and the overall rating for this sub-category established as a simple average of the two.

[24] For GEF funded projects, a rating will be provided for the Project Management and Supervision of each of the Implementing and Executing Agencies. The two ratings will be aggregated to provided an overall rating for Quality of Project Management and Supervision

50. The Evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); maintaining project relevance within changing external and strategic contexts; communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

iii. Stakeholder Participation and Cooperation

51. Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UNEP and the Executing Agency. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

52. The progress, challenges and outcomes regarding engagement of stakeholders in the project/program occurring since the MTR should be reviewed. *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval).*

iv. Responsiveness to Human Rights and Gender Equality

53. The Evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the Evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment[25].

54. In particular the Evaluation will consider to what extent project-implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children and those living with disabilities) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

55. Note that the project's effect on equality (i.e., promoting human rights, gender equality and inclusion of those living with disabilities and/or belonging to marginalised/vulnerable groups) should be included within the TOC as a general driver or assumption where there is no dedicated result within the results framework. If an explicit commitment on this topic is made within the project document then the driver/assumption should also be specific to the described intentions.

56. The completed gender-responsive measures and, if applicable, actual gender result areas should be reviewed. (This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent).

v. Environmental and Social Safeguards

57. UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The Evaluation will confirm whether UNEP requirements[26] were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and r*eport* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and

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[25]The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

[26] For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).

58. The Evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

59. Implementation of the management measures against the Safeguards Plan submitted at CEO Approval should be reviewed, the risk classifications verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. Any supporting documents gathered by the Consultant should be shared with the Task Manager.

vi. Country Ownership and Driven-ness

60. The Evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, i.e. either a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The Evaluation will consider the engagement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices (e.g., representatives from multiple sectors or relevant ministries beyond Ministry of Environment). This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long-lasting impact to be realised. Ownership should extend to all gendered and marginalised groups.

vii. Communication and Public Awareness

61. The Evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The Evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the Evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

62. The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

63. The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the Evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant(s) will provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g., sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

64. The findings of the Evaluation will be based on the following:

(a) A **desk review** of:

- Relevant background documentation, inter alia [Request for CEO endorsement and associated attachments, Project Cooperation Agreement (PCA) and its associated amendments];
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget.
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.
- Project deliverables tabulated below:

Table 4*:* Project Deliverables

OVERALL RESULTS	
	Targets
Direct Electricity Savings (MWh)	48
Direct Total Energy Savings (GJ)	174
Direct GHG Emission Savings (tCO2)	21

Project Component	**Deliverables**
1. National policy and regulation development to promote the rapid transition to efficient lighting.	a) Assessment of the current national efficient lighting status b) National Efficient Lighting Strategy final draft, subject to multi-stakeholder consultations, with roadmap for the phasing out of inefficient lighting c) Proposal of MEPS and suppoting policies for the improvement of energy efficiency of lighting products based on desired level of MEPS that Bolivia wants to establish, following consultative workshops with national stakeholders. d) Proposal of a regulatory framework for MVE taking into account international and regional best practices e) Proposal of legal framework for environmentally sound management f) Developed standards for mercury content based on international best practices. g) Gender analysis and gender action plan for the strategy and the project in general
2. Creation of monitoring, verification and enforcement (MVE) capacities to ensure effective transition to efficient lighting.	a) Reports on participation in regional and international events b) Data compilation to allow monitoring the process anually c) Training to government authorities, lab technicians, and customs administrations d) Report on the diagnosis of testing labs in Bolivia and the recommendations for enhancing their national testing capacities and whether it makes sense to use other labs in the LAC region. e) Based on the diagnosis above, if recommended, improved lighting safety and efficiency test protocols
3. Ensuring environmentally sound management for a sustainable transition to efficient lighting.	a) Proposal for an operational framework and a strategy for environmentally sound management of lighting products b) Training workshops to national public and private sector on environmentally sound management of lighting products at end-of-life c) Communication campaign on environmentally sound disposal of lamps
4. Lighting innovation: accelerating the use of Solid-State Lighting (including light emitting diodes (LEDs)) and controls.	a) - Proposal for labels and quality specifications and/or MEPS for LED lamps and lighting controls b) Communication campaign materials, reports on campaign concept and impacts c) Procurement and distribution of LEDs d) Training on advanced technologies and systems (e.g. LEDs and controls) e) Gender Action Plan for pilot LED projects

- Mid-Term Review of the project.
- Evaluations/reviews of similar projects.

(b) **Interviews** (individual or in group) with:

- UNEP Task Manager (TM).
- Project management team, including the Project Manager within the Executing Agencies [Ministry of Hydrocarbon and Energy, Ministry of Environment and Water];
- UNEP Fund Management Officer (FMO).
- Portfolio Manager and Sub-Programme Coordinator, where appropriate.
- Project partners [Municipality of La Paz, Philips Lighting, Osram, National Lighting Test Center, China];
- Relevant resource persons.
- Representatives from civil society and specialist groups (such as research institutions, think tanks and academics involved in energy / energy efficiency).

(c) **Field visits** to project sites in Bolivia.

(d) Other data collection methods and tools as necessary.

11. Evaluation Deliverables and Review Procedures

65. The Evaluation Team will prepare:

- **Inception Report:** (see Annex 1 for a list of all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- **Preliminary Findings Note:** typically, in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
- **Draft and Final Evaluation Report:** containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
- An **Evaluation Brief,** (a 2-page overview of the evaluand and key evaluation findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Evaluation Manager no later than during the finalization of the Inception Report.
- **A Portfolio Review:** containing best practices and lessons learned based on an analysis of findings from this evaluation and other recent UNEP projects addressing the thematic Area (Energy Efficient Lighting).

66. **Review of the Draft Evaluation Report**. The Evaluation Consultant(s) will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Task Manager and Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward the revised draft report (corrected by the Evaluation Consultant(s) where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the Evaluation Consultant(s) for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

67. **Based** on a careful review of the evidence collated by the Evaluation Consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

68. The Evaluation Manager will prepare a **quality assessment** of the first draft of the Main Evaluation Report, which acts as a tool for providing structured feedback to the Evaluation Consultant(s). The quality of the final report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

69. At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis for a maximum of 12 months.

70. A Thematic Area **Portfolio Review** will be prepared to bring together key findings across several UNEP projects addressing the Thematic Area and recently reaching operational completion. This Review will be based on an analysis of findings from this evaluation and the evaluations of other projects related to Thematic Area, as listed in Annex 3: Portfolio Review Projects. This will be prepared for wider dissemination throughout UNEP. The details of this Review, and the contribution to be made by this process, will be agreed with the Evaluation Manager no later than during the finalization of the Inception Report.

12. The Evaluation Consultant

71. For this Evaluation, the Evaluation Consultant will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager [Stephen Baguma] in consultation with the UNEP Task Manager [Asher Lessels], Fund Management Officer [Fatma Twahir], the Sub-programme Coordinator for Climate Action and the Sub-programme Coordinator for Chemicals and Pollution Action. The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the Evaluation, including travel. It is, however, each consultant's individual responsibility (where applicable) to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the Evaluation as efficiently and independently as possible.

72. The Evaluation Consultant will be hired over a period of seven (7) months [October 2024 to April 2025] and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of eight (8) years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a good/broad understanding of energy efficiency is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement and proficiency in oral and written Spanish is desirable. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with possible field visits.

73. The Evaluation Consultant will be responsible, in close consultation with the Evaluation Office of UNEP, for overall management of the Evaluation and timely provision of its outputs, described above in Section 11 Evaluation Deliverables, above. The consultant will ensure that all evaluation criteria and questions are adequately covered.

74. In close consultation with the Evaluation Manager, the Evaluation Consultant will be responsible for the overall management of the Evaluation and timely provision of its outputs, data collection and analysis and report-writing. More specifically:

<u>Inception phase of the Evaluation, including:</u>

- preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- develop and present criteria for country and/or site selection for the evaluation mission;
- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager.

Data collection and analysis phase of the Evaluation, including:

- conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
- (where appropriate and agreed) conduct an evaluation mission(s) to selected countries, visit the project locations, interview project partners and stakeholders, including a good representation of local communities. Ensure independence of the Evaluation and confidentiality of evaluation interviews.
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Manager informed of the evaluation progress.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the Evaluation Consultant and indicating the reason for the rejection; and
- (where agreed with the Evaluation Manager) prepare an Evaluation Brief (2-page summary of the evaluand and the key evaluation findings and lessons)

Managing relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

13. Schedule of the Evaluation

The table below presents the tentative schedule for the Evaluation.

Table 5: Tentative schedule for the Evaluation

Milestone	Tentative Dates
Evaluation Initiation Meeting	September 2024
Inception Report	October 2024
Evaluation Mission	November 2024
E-based interviews, surveys etc.	October 2024
PowerPoint/presentation on preliminary findings and recommendations	December 2024
Draft report to Evaluation Manager (and Peer Reviewer)	January 2025
Draft Report shared with UNEP Project Manager and team	January 2025
Draft Report shared with wider group of stakeholders	February 2025
Final Report	March 2025
Final Report shared with all respondents	March 2025
Draft Portfolio brief on Energy efficient lighting	March 2025
Final Portfolio brief on Energy efficient lighting	April 2025

14. Contractual Arrangements

75. Evaluation Consultants will be selected and recruited by the Evaluation Office of UNEP under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP /UNON, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project’s executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

76. Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Manager of expected key deliverables. The schedule of payment is as follows:

Table 6: Schedule of Payment for the Evaluation Consultant

Deliverable	Percentage Payment
Approved Inception Report (as per annex document #9)	25%
Approved Draft Main Evaluation Report (as per annex document #10)	25%
Approved Final Main Evaluation Report	33%
Draft Portfolio brief on Energy efficient lighting	7%
Final Portfolio brief on Energy efficient lighting	10%

77. Fees only contracts: Where applicable, air tickets will be purchased by UNEP and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

78. The consultants may be provided with access to UNEP's information management systems (e.g PIMS, Anubis, Sharepoint etc) and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

79. In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.

80. If the consultant(s) fail to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard[27].

[27] This may include contract cancellation in-line with prevailing UN Secretariat rules.

Annex 1: Tools, Templates and Guidance Notes for use in the Evaluation

81. The tools, templates and guidance notes listed in the table below, and available from the Evaluation Manager, are intended to help Evaluation Managers and Evaluation Consultants to produce evaluation products that are consistent with each other, and which can be compiled into a biennial Evaluation Synthesis Report. The biennial summary is used to provide an overview of progress to UN Environment and the UN Environmental Assembly.

82. This suite of documents is also intended to make the evaluation process as transparent as possible so that all those involved in the process can participate on an informed basis. It is recognised that the evaluation needs of projects and portfolio vary and adjustments may be necessary so that the purpose of the evaluation process (broadly, accountability and lesson learning), can be met. Such adjustments should be decided between the Evaluation Manager and the Evaluation Consultants in order to produce evaluation reports that are both useful to project implementers and that produce credible findings.

83. ADVICE TO CONSULTANTS: As our tools, templates and guidance notes are updated on a continuous basis, kindly download documents from the link provided by the Evaluation Manager during the Inception Phase and use those versions throughout the Evaluation.

List of tools, templates and guidance notes available:

Document #	Name
1	00_Tools Description and Mapping (Word file)
2	00a_UNEP Glossary Results Definitions (PDF file)
3	00b_List of Documents Needed for Evaluations (Word file)
4	01_Evaluation Criteria (Word file)
5	02_Criterion Rating Descriptions Matrix (Word file)
6	03_Evaluation Ratings Table ONLY (Word file)
7	04_Weighed Ratings Table (Excel file)
8	05_Project Identification Table ONLY (Word file)
9	06_Inception Report Structure and Contents (Word file)
10	07_Main Evaluation Report Structure and Contents (Word file)
11	08_TOC Reformulation Justification Table ONLY (Word file)
12	09_Quality of Project Design Assessment (Word file)
13	09a Quality of Project Design Assessment Template.xlsx (Excel file)
14	10_Stakeholder Analysis Guidance Note (Word file)
15	11_Gender Methods Note for Consultants (Word file)
16	12_Safeguards Methods Note for Consultants (Word file)
17	13_Use of Theory of Change in Project Evaluations (Word file)
18	14_Financial Tables (Word file)
19	15_Likelihood of Impact.xlsm (Excel file)
20	15a_Likelihood of impact Test Case (Excel file)
21	16_Recommendations Quality Guidance Note (Word file)
22	16a_In Report Template Presenting Recommendations and Lesson Learned (Word file)
23	17_TE-MTE GEF Cover Page Prelims and Style Sheet Main Evaluation Report (Word file)
24	18_TE-MTE Non GEF Cover Page Prelims and Style Sheet Main Evaluation Report (Word file)
25	19_Quality of Evaluation Report Assessment FINAL ONLY (Word file)
26	20_Evaluation Methodology Structure (Word file)
27	21_GEF Portal Annex Template (Word file)
28	Process 1_Evaluation Process Guidelines for Consultants (Word file)
29	Process 2_Template for Attestation Letter (Word file)
30	Process 3_Evaluation Consultants Agreement Form (Word file)
31	Process 4_Guidelines for Field Work During Coronavirus (Word file)
32	Process 5_Evaluation Consultants Team Roles (Word file)
33	Process 6_ Template for Reference Checks (Word file)

Annex 2: Project Results Framework

Project Objective / Outcomes/ Outputs	Indicators	Baseline	End of Project Target	Means of Verification	Assumptions and Risks	UNEP MTS reference*
To accelerate the transition to energy efficient lighting technologies in Bolivia through the development of a national efficient lighting policy and practical innovative interventions that ensure success of the transition, thereby reducing electricity demand and consumption and the related GHG emissions.	A) The amount of Energy Savings in the lighting sector in Bolivia.	0 MWh	Direct: 532 MWh Direct post-project: 7,970 GWh	• Energy sales provided by the Authority of Electricity • Official import data and technology vendor statistics; vendor interviews • Project monitoring and evaluation • Market assessment from national statistics and surveys in the context of the standards and labeling program • UN comtrade data	The assumption is that risks as described in Section A.6 of Part II do not have negative impact on the project's progress or can be mitigated: • Policies might be recommended but not implemented; weak government support • Low commitment of local laboratories to strengthen their capacity for testing of lighting products; • Delayed implementation of activities that are baseline activities; • Low level participation from the private sector actors including lighting technology manufacturers and distributors;	Sub program 1: Climate Change Expected Accomplish ment (b) Output 2.b Indicator: (ii) Increased percentage of countries meeting energy efficiency standards in specific sectors, with support from UNEP.
	B) The amount of CO2eq emissions avoided in the lighting sector in Bolivia	0 tCO2eq	Direct: 233 tCO2eq Direct post-project: 3,500 ktCO2eq			
	C) *Market share of lamps entered in the Bolivian market: IL / Hal / CFL / LED / others at the end of the project but also at each MEPS adoption*	**2016:** IL: 69%; Hal: 5%, CFL: 16%; LED: 2%, Others: 8%	In 2018:[28] IL: 55.5%; Hal: 4%, CFL: 29%; LED: 3.5%, Others: 8%			
		2018: IL: 56.5%; Hal: 5%, CFL: 28%; LED: 2.5%, Others: 8%	In 2021: IL: 22.5%; Hal: 4%, CFL: 62%; LED: 3.5%, Others: 8%			
		2021: IL: 38.5%; Hal: 4.5%; CFL: 46%; LED: 3%; Others: 8%	In 2025: IL: 9%; Hal: 1%; CFL: 68.5%; LED: 13.5%; Others: 8%			
	D) *National framework to collect, recycle and/or dispose of spent lighting products endorsed by the government*	0	1	• Environmentally Sound Management strategy document published online	• The designed and executed EE in lighting and waste management communication campaign is not effective.	
Component 1. National policy and regulation development to promote the rapid transition to efficient lighting						

[28] The STAP/GEF model used to create the BAU and the project scenarios for the market transition is based on standards and labels regulations adopted by the government which are assumed to be enforced in two phases, the first MEPS will be adopted by 2021 which is after the completion of the project. Therefore, the STAP model shows the same technology rates for the GEF scenario than for the BAU in 2018 (IL/Hal/CFL/LED/others - 56.5%/5%/28%/2.5%/8%). However, the project aims to boost the efficient lighting market (CFL and LED shares) during the project period through communication campaigns and demonstration programs. Therefore, the target for the market share of these technologies in 2018 is at least 29% for CFL and 3.5% for LED, even if this is not shown in the STAP/GEF model.

Project Objective / Outcomes/ Outputs	Indicators	Baseline	End of Project Target	Means of Verification	Assumptions and Risks	UNEP MTS reference*
1.1. National efficient lighting strategy employing the integrated policy approach to phasing out inefficient incandescent lamps endorsed.	Number of National efficient lighting strategy endorsed by the government	0 (No)	1 (Yes)	• Official government publications and news bulletins • Project work plans; monitoring and evaluation reports • Technical reports (on labeling and MEPS; assessment, market studies) • Press coverage and/or internal report on the endorsement of the National efficient lighting strategy. • National efficient lighting strategy published online	• Delayed implementation of baseline activities. • Low level participation from the private sector actors including lighting technology manufacturers and distributors. • Lobby boycott changes • Subnational governments belonging to the opposition resist strategy	Expected Accomplish ment (EA) 2: Low emission growth
	Standardized and comprehensive MEPS for efficient lighting adopted by the government	0	1			
	Number of private sector actors participating in the strategy development	0	2			
Outputs *1.1.1 Comprehensive policies to ensure a successful transition to an efficient lighting market to support Bolivia in its efforts, and standards and labeling activities harmonized regionally to achieve maximum lighting market transformation developed.* *1.1.2 National legislation to establish and enforce minimum energy performance standards (MEPS) for lamps developed.* *1.1.3. Monitoring, verification and enforcement (MVE) frameworks created to ensure compliance.* *1.1.4 Enabling regulatory environment and legal frameworks in place, to ensure environmentally sound life-cycle management of lamps.* *1.1.5 Public communications and awareness raising activities designed to increase public acceptance of high efficiency products, with an understanding of economic and environmental benefits.*						
Component 2. Creation of monitoring, verification and enforcement (MVE) capacities to ensure effective transition to efficient lighting.						
2.1. Capacities to Monitor, Verify and Enforce energy efficient lighting products are created in Bolivia	Number of regulations establishing the MVE system are adopted by the government	0	1	• Technical reports (on labeling and MEPS; MVE assessment) • Official government publications and news bulletins; project work plans; monitoring and evaluation report	• Low commitment of local laboratories to strengthen their capacity for testing of lighting products. • Weak government support, which leads to inadequate enforcement or policies and regulations	Expected Accomplish ment (EA) 2: Low emission growth
	Increase in the number of laboratories certified to assess MEPS and labels for lighting products	0	At least 1			
Outputs *2.1.1 Legal and administrative processes of monitoring, verification and enforcement to improve compliance with national or regional standards developed.* *2.1.2 Technical training and support to government authorities and customs administrations delivered.* *2.1.3 Technical training and support to national laboratories to verify compliance with standards and promote regional cooperation provided.*						
Component 3. Ensuring environmentally sound management for a sustainable transition to efficient lighting.						
3.1. Government of Bolivia is able to enact a national plan to collect, recycle and/or responsibly dispose of spent lighting products that may contain valuable and/or hazardous materials.	Number of Collection & Recycling System Organization (CRSO) business models designed	0	1	• Project monitoring and evaluation reports • Project technical reports (incl. description of waste disposal and management strategy, issues and options) • Proceedings of training events and workshops	• Weak local government support for lamp waste recycling • Delayed implementation of baseline activities • The designed and executed waste management communication	Expected Accomplish ment (EA b and c) 3: Chemicals and Waste
Outputs						

Project Objective / Outcomes/ Outputs	Indicators	Baseline	End of Project Target	Means of Verification	Assumptions and Risks	UNEP MTS reference*
3.1.1 National framework and strategy for environmentally sound management of lighting products developed. *3.1.2: Operational management pilot for disused lamps.* *3.1.3: Technical training and support to government authorities and customs administrations.* *3.1.4: Awareness and communication campaigns are carried out to promote the collection and recycling of spent lamps.* *3.1.5: Development of waste management systems for spent lamps, including the design of a collection and recycling services organization (CRSO), and international coordination for the environmentally sound export/import of lamp waste*				Regulation documents published online	campaign is not effective	
Component 4. Lighting innovation: accelerating the use of Solid State Lighting (including light emitting diodes (LEDs)) and controls.						
4.1. Consensus reached by consumers and decision makers in government and private sector on the increased use of solid-state lighting and lighting controls in the domestic, commercial/ industrial and outdoor lighting applications.	The national efficient lighting strategy includes in its objectives the increasing use of solid-state lighting and lighting controls	0 (No)	1 (Yes)	• Work plan and minutes of the working group on solid state lighting technologies. • Project monitoring and evaluation reports • Project technical reports (incl. specifications and/or MEPS for LED lamps and lighting control) • Campaign materials; reports on campaign concept and impacts • Proceedings of training events and workshops	• Ineffective to inadequate and ineffective enforcement or policies and regulations • Delayed implementation of baseline activities • Low level participation from the private sector • Low level participation from the private sector actors including lighting technology manufacturers and distributors. • The designed and executed EE in lighting and waste management communication campaign is not effective	Expected Accomplishment (EA) 2: Low emission growth
Outputs *4.1.1 National efficient lighting strategy with more stringent MEPS, taking into account advanced lighting technologies and systems, further developed.* *4.1.2 Supporting policies delivered to increase user acceptance and demand for high efficiency products and systems.* *4.1.3. MVE scheme to ensure high quality products that will deliver the expected energy saving and GHG emission reduction benefits developed.*						
4.2 Municipal governments made aware of the benefits of advanced lighting systems through demonstration programs of locally appropriate street lighting LEDs and controls.	Number of municipalities that have procured LEDs	0	3			
	Number of male and female beneficiaries of the above-mentioned outcome determined	0	TBD during the formulation of the Gender Action Plan			
Outputs *4.2.1 Demonstration program for locally appropriate LEDs and lighting controls for Bolivia's selected stakeholder groups (i.e. public lighting consumers) designed and delivered.* *4.2.2 LED and controls systems procured and installed through the demonstration program.* *4.2.3 Gender mainstreaming in Outputs 4.2.1 and 4.2.2 conducted*						

Annex 3: Portfolio Review Projects

The Portfolio Review will be based on an assessment of the terminal evaluation of the project listed in these Terms of Reference, and the terminal evaluations of other UNEP projects that are part of the same thematic portfolio. The table below lists the other projects that will be part of this review.

Completed Interventions

Project ID[29]	Project Name[30]	Start Date	Operational completion Date
GEF 3457	Terminal Evaluation of the UN Environment/Global Environment Facility project "Global Market Transformation for Efficient Lighting" (en.lighten initiative).		
GEF 3876	Terminal Evaluation of the UNEP/GEF Project "Promotion of Energy Efficiency in Public Lighting in Côte d'Ivoire"		
GEF 4139	Terminal Evaluation of the UN Environment/GEF Project "Market Transformation for Energy Efficient Lighting in Morocco"		
GEF 4173	Terminal Evaluation of the UN Environment / GEF project Lighting Market Transformation in Peru		
GEF 5150	Terminal Evaluation of the UN Environment-GEF Project "Delivering the Transition to Energy Efficient Lighting in Chile "		
GEF 5799	Delivering the Transition to Energy Efficient Lighting in Residential, Commercial, Industrial, and Outdoor Sectors		
GEF 3755	Phasing out Incandescent Lamps through Lighting Market Transformation in Vietnam		

Insights from Ongoing Interventions

Project ID[29]	Project Name	Start date	Operational completion date
GEF 9083	Leapfrogging Markets to High Efficiency Products (Appliances, including Lighting, and Electrical Equipment) (PROGRAM)		
GEF 9328	Leapfrogging Sudan's Markets to More Efficient Lighting and Air Conditioners		
GEF 9337	Global Project to Leapfrog Markets to Energy Efficient Lighting, Appliances and Equipment		
GEF 9492	Leapfrogging South Africa's Markets to High Efficiency LED Lighting and High Efficiency Distribution Transformers		
GEF 9498	Leapfrogging Tunisia's Lighting Market to High Efficiency Technologies		

[29] Link to the project on the GEF portal.
[30] Link to the Terminal Evaluation Report on the UNEP weDocs portal.