

TERMS OF REFERENCE

Terminal Evaluation of the UNEP/GEF Programme

Leapfrogging Markets to High Efficiency Products (Appliances, including Lighting, and Electrical Equipment) [GEF ID 9083].

Section 1: PROGRAMME BACKGROUND AND OVERVIEW

1. Programme General Information

Table 1: Programme Summary

GEF Programme	GEF 9083 Leapfrogging Markets to High Efficiency Products (Appliances, including Lighting, and Electrical Equipment)		
GEF Child Projects	GEF 9337: Global Project to Leapfrog Markets to Energy Efficient Lighting, Appliances and Equipment GEF 9283: Development of a Market for Energy Efficient Lighting, Air Conditioners and Refrigerators in Costa Rica GEF 9328: Leapfrogging Sudan’s Markets to More Efficient Lighting and Air Conditioners GEF 9332: Energy Efficient Standards, Certification, and Labeling for Appliances and Equipment (<i>suspended</i>) GEF 9492: Leapfrogging South Africa's Markets to High Efficiency LED Lighting and High Efficiency Distribution Transformers GEF 9493: Advancing Indonesia’s Lighting Market to High Efficient Technologies (ADLIGHT) GEF 9496: Leapfrogging Chilean’s Markets to More Efficient Refrigerator and Freezers GEF 9498: Leapfrogging Tunisia’s Lighting Market to High Efficiency Technologies GEF 9499: Leapfrogging Myanmar’s market to high efficiency lighting and appliances (<i>suspended</i>)		
Implementing Agencies:	Lead GEF Agency United Nations Environment Programme (UNEP) Other GEF Agencies United Nations Development Programme (UNDP) Development Bank of Southern Africa (DBSA)	Executing Agencies:	Ministry of Environment (MINAE), Costa Rica Ministry of Water Resources, Irrigation and Electricity – The Electricity Regulatory Authority, Sudan Ministry of Investment and Development of the Republic of Kazakhstan Department of Energy, South Africa Ministry of Energy and Mineral Resource (MEMR), Indonesia Ministry of Energy, Chile Agence Nationale de la Maitrise de l’Energie (ANME), Tunisia Ministry of Industry, Myanmar
Sources of Funding (Co-finance):	Country¹(ies): Chile Costa Rica Indonesia Kazakhstan Myanmar South Africa Sudan Tunisia	Institution² Name/Type: United Nations Environment Programme (UNEP) - UN Body United Nations Development Programme (UNDP) - UN Body Development Bank of Southern Africa (DBSA) - Multilateral Fund	
Relevant SDG(s):	7, 12, 13, 17		
MTS (at approval): UNEP Medium Term Strategy 2014-2017			

¹ Where applicable, list countries who have provided project funds and/or co-finance.

² Indicate where funding institutions are any/all of the following: Foundation/NGO; Private Sector; UN Body; Multilateral Fund; Environment Fund.

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: Indicators	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:
	POW Output:		POW Expected Accomplishment: POW 2022-2023 POW 2018-2019 Subprogramme 3: MTS 2014-2017
Sub-programme:	Climate Action	Global Coordination Project:	GEF 9337: Global Project to Leapfrog Markets to Energy Efficient Lighting, Appliances and Equipment
UNEP approval date:	25 March 2016	GEF approval date:	21 October 2015
GEF Operational Programme #:	GEF 6	GEF Strategic Priority:	
Project type:	N/A	Focal Area(s):	Climate Change
Expected start date:		Actual start date:	
Planned completion date:		Actual operational completion date:	
Planned total programme budget at approval:	US\$ 183,036,400	Actual total expenditures reported as of [XXX]:	US\$
GEF grant allocation:	US\$ 33,095,400	GEF grant expenditures reported as of 30 June 2023]:	US\$
Expected Programme co-financing:	Cash: US\$ 13,020,000 In-kind: US\$ 136,921,000	Secured Programme co-financing:	Cash: US\$ In-kind: US\$
No. of formal program revisions:	1	Date of last approved programme revision:	n/a
No. of Steering Committee meetings:	N/A	Date of Last Steering Committee meeting:	
Mid-term Review/ Evaluation (planned date):		Mid-term Review/ Evaluation (actual date):	June 2021
Terminal Evaluation (planned date):		Terminal Evaluation (actual date):	
Coverage - Country(ies):	Chile, Costa Rica, Indonesia, Kazakhstan, Myanmar, South Africa, Sudan, Tunisia	Coverage - Region(s):	Africa, Asia and the Pacific, Latin America and the Caribbean, West Asia
Dates of previous programme phases:	N/A	Status of future programme phases:	

2. Programme Rationale

1. The Leapfrogging Markets to High Efficiency Products (Appliances, including Lighting, and Electrical Equipment) Programme (GEF ID 9083) builds on the UNEP-GEF global project “Establishing the Foundations of a Partnership to Accelerate the Global Market Transformation for Efficient Appliances and Equipment,” ([GEF 5831](#)), hereinafter called the “SE4ALL Global Project”. The project was named so due to its contribution to the [UN Secretary General’s Sustainable Energy for All \(SE4ALL\)](#) initiative.

2. The Global Leapfrogging Programme allows for the use of a coherent and consistent integrated approach, providing greater likelihood of success and increased harmonization between countries. Integrated policy approaches (minimum standards, MVE, communication campaigns and financial mechanisms, and environmentally sound management) have been demonstrated to permanently transition markets to energy efficient products while addressing environmental concerns.

Figure 1: Relation between the SE4ALL Global Project (#5831) and the Global Leapfrogging Programme (#9083) (*Source: GEF 9083 PFD, 2026*)



3. As illustrated in Figure 1, the programme can be described as follows:

a) Implementation of “national-child projects” (National STAR allocations)

This component (1) concerns countries that allocate their National STAR Allocation to projects promoting energy efficiency of lighting, appliances and equipment. Eight countries (Chile, Costa Rica, Indonesia, Kazakhstan, Myanmar, South Africa, Sudan and Tunisia) committed their STAR allocation under the Global Leapfrogging Programme on lighting, appliances, and equipment.

b) Support to partner countries (Global Funding/GEF ID: 9337)

Under Component 2, the virtual Centre of Excellence supports all countries that join as members of the global partnership United for Efficiency initiative (U4E), to implement its integrated policy approach (MEPS – minimum energy performance standards; MVE – monitoring, verification, and enforcement; supporting policies, financial mechanisms, and environmentally sound management), training and remote support for policy makers and key stakeholders.

c) Outreach to Countries (Global Funding/GEF ID: 9337)

Under this component of the programme (3), regional workshops and an outreach campaign were planned in order to increase the number of countries committing to transform their markets. The activities of this component aimed to increase regional harmonization of standards and regulatory frameworks, while taking into account the differences between countries.

3. Programme Results Framework

4. The programme results framework is built around three components which are detailed below.

Table 2: Summary Programme Results Framework⁵

PROGRAMME OBJECTIVE: To mitigate climate change by transforming national and regional markets to energy efficient products.	
Components	Program Outcomes
1. National child projects on energy efficient lighting, appliances, and equipment	1.1 Markets are transformed to energy efficient lighting, appliances, and equipment providing climate change mitigation benefits (Costa Rica, Kazakhstan, Sudan, Myanmar, Indonesia, Tunisia, South Africa, and Chile STAR allocations)
2. Global services for partner countries	2.1 Countries and regions have the guidance to successfully implement market transformation projects (Global Child project)
	2.2. Increased capacity of 15 countries' officials to develop and implement projects and policies to advance energy efficiency of lighting, appliances, and equipment. (Global Child project)
3. Increasing the ambition of the Global Partnership on Efficient Appliances and Equipment	3.1 Increased number of countries commit to advancing energy efficiency of lighting, appliances, and equipment. (Global Child project)

COMPONENT 1: NATIONAL CHILD PROJECTS ON LIGHTING, APPLIANCES, AND EQUIPMENT

5. The Global Leapfrogging Programme proposed five menu options to countries to be implemented as child projects to the programme. Based on national circumstances, the countries had the option of implementing combinations of one or more menu options for a defined set of appliances and equipment, as long as the country met the GEF child project selection criteria. Further, the Global Leapfrogging Program allowed countries to define the products of focus to be included in the child project based on their national circumstances. Potential products that could be selected included: refrigerators, room air conditioners, electric motors (0.75kW to 375kW), distribution transformers, water heaters, lamps and controls, and other potential priority products such as pumps, TVs, computers and set-top boxes. Priority products could be selected based on the level of policies in place in the country and/or the products that offer the highest potential energy and greenhouse gas savings. The menu options follow the integrated policy approach developed under the UNEP/GEF en.lighten initiative to phase-out inefficient products from the market.

6. **Menu Option 1:** *National strategy for advancing market to energy efficient products.* The program will develop countries' national strategies for energy efficient products. The purpose of a national strategy is to focus priorities by developing a common vision and goals on transforming the market to energy efficient products. The strategy will define the scope of products based on an assessment of electricity demand and electricity usage, as well as anticipated consumer trends. The strategy will set national objectives and a detailed roadmap based on the integrated policy approach for each individual product, or groups of products.

7. **Menu Option 2:** *Implementation of regulatory mechanisms, including minimum energy performance standards (MEPS).* MEPS are mandatory measures that permanently remove the least efficient products from the market and thereby encourage innovation and rapid adoption of higher efficiency products. Menu Option 2 is designed to support countries in developing regulatory mechanisms, including MEPS.

8. **Menu Option 3:** *Creation of monitoring, verification and enforcement (MVE) capacities in countries and regions to ensure an effective transition to efficient appliances and equipment markets.* The success of MEPS and a market transition depends on a well-functioning system of monitoring, surveillance, control, and testing facilities. This component of the programme will promote enforcement and full compliance with MEPS.

9. **Menu Option 4:** *Supporting policies for the market transformation to energy efficient products.* Supporting activities such as communication campaigns, distribution projects, and financial schemes can all assist in facilitating public acceptance and deployment of efficient products in the market. These policies and strategies assist in overcoming barriers of lack of knowledge of energy efficiency and the barrier of increased upfront costs (purchase price of the product).

10. **Menu Option 5:** *Ensuring environmentally sound management and sustainable transition to efficient appliances and equipment.* Environmentally sound management systems ensure that precautions are taken to safeguard the environment and human health throughout the full lifecycle of appliances and equipment. An

environmentally sound management legal framework incorporates and expands upon existing laws and efforts.

COMPONENT 2: GLOBAL SERVICES FOR PARTNER COUNTRIES

11. Component 2 of the Global Leapfrogging Programme extends the activities of the virtual Global Centre of Excellence, founded under the Efficient Appliance and Equipment Global Partnership Programme and funded under GEF project “Establishing the Foundations of a Partnership to Accelerate the Global Market Transformation for Efficient Appliances and Equipment.” The virtual Centre of Excellence is supported by a network of experts from partner public organizations and private sector companies, including UNDP, [CLASP](#), bigEE (Wuppertal Institute) Topten, Department of Industry, Australia, IEA-4E, Copenhagen Centre on Energy Efficiency, Philips Lighting BV, OSRAM Licht AG, International Copper Association (ICA), ABB, Mabe, Arcelik, BSH, Haier, Gree Electric, and Electrolux.

12. Implementation of Component 2 would result in countries being prepared to successfully implement the activities of a market transformation project while also ensuring that resources are not duplicated with each project (for example guides being used across all GEF projects). This approach provides increased coordination between countries as they develop the policies in the country based off best practice recommendations. Further, this component planned to support 15 partner countries to have increased capacities (through training) to carry out projects and policies to transform their market. The 15 partner countries would be identified under the GEF project “[GEF 5831: Establishing the Foundations of a Partnership to Accelerate the Global Market Transformation for Efficient Appliances and Equipment](#).” The 10 “national-child project” countries would also be provided with training that would be funded through global funding. The resources and support include:

- ‘How to’ guides (available to 100 country partners):
- Remote support (available to 100 country partners):
- Regional status reports (available to 100 country partners):
- Training for trainers (available to 15 “non-national-child project” countries and up to 10 “national-child project” countries):

13. The virtual Centre of Excellence will communicate the availability of the tools and ensure the child projects do not duplicate resources/tools within their own project.

COMPONENT 3: OUTREACH ON EFFICIENT APPLIANCES AND EQUIPMENT

14. Through Component 3 of the Global Leapfrogging Programme, there will be increased number of governments committing to advance their markets to energy efficient appliances and equipment. The programme will achieve commitment of 100 countries, increasing by 70 over the goal of the GEF SE4ALL Global Project (Establishing the Foundations of a Partnership to Accelerate the Global Market Transformation for Efficient Appliances and Equipment - UNEP #5831). To complete this, the Global Leapfrogging Programme will use the resources and tools developed under SE4ALL Global Project (#5831), such as the country-by-country assessments and best practice policy guides. Carrying-on the global campaign from the preparatory SE4ALL Global Project, this component will host regional workshops to gain the political commitment from governments to transform their markets, while also encouraging increased regional harmonization. The programme will utilize tools and reports developed under [GEF project #5831](#) to maximize GEF resources, such as using the country Assessments and policy brochures on best practice policies.

- Regional workshops launching regional status reports and regional/national commitment.
- Side events alongside major environmental and energy events.

4. Executing Arrangements

15. The programme is funded by the GEF, with UNEP as the lead agency. Other GEF agencies implementing Child Projects under the programme are the United Nations Development Programme (UNDP) and the Development Bank of Southern Africa (DBSA).

16. As lead agency UNEP oversees the final design and development of expertise to assist countries in their transition to energy efficient products. UNEP leads the coordination of global activities (as lead of the Global Coordinating Project³ - GEF 9337) including support to 10 partner countries to develop a policy

³ GEF programs typically consist of a coordinating project that provides the overall direction and support for programme activities and several decentralized child projects that are tied together by a shared vision and framework.

framework for the market transition.⁷ Additionally, UNEP will lead the development of common methodologies and guidance through the centre of excellence, coordination of MVE, generation of country data and overall benefits of the transitions, and providing leadership to achieve a global political consensus. UNEP, through the Centre of Excellence, will also lead in providing technical assistance to countries, which is incorporated in Component 1 of the program.

17. **Program coordination and management:** The program was expected to be guided by a Program Steering Committee, which intended to meet annually to provide strategic advice and facilitate program level coordination and communication. The planned PSC membership includes representatives from each of the program's countries, the GEF agencies (UNEP and UNDP), and other partners to the project.

18. **Global centre of excellence:** UNEP was to continue leading the global Centre of Excellence that would provide expertise and provide overall coordination of national projects. The Centre is composed of experts on international energy efficiency of appliances, equipment and lighting. The Centre was expected to work with UNDP and other partner agencies by providing expertise to project implementation in countries, including coordinating workshops to develop a national strategy, expertise in developing standards, and training to national officials to ensure effective implementation.

19. **National project implementation:** Each national project would include a national Steering Committee comprised of representatives from relevant local and national governments, NGOs, private sector partners, and GEF agencies (UNEP and UNDP). The National Steering Committees would meet bi-annually to review progress, provide strategic advice and support adaptive project management.

20. UNEP was also expected to lead the implementation and rollout of integrated national and regional appliance efficiency strategies, policies and concrete on-the-ground implementation of activities. UNDP would also carry out national activities in countries they have a strong experience in implementation of energy efficiency projects, while also providing support with the strong relationships they have in local governments and institutions. By utilizing the expertise and policy recommendations created by UNEP, UNDP would ensure that the implementing strategy results in a permanent transition to energy efficient products. Further, in some cases, UNEP was expected to lead national activities where UNEP has strong relationships in a country or region. Further, the programme would seek partnership from regional development banks to leverage their strengths regionally and also as an additional source of financing of national projects.

5. Programme Costs and Financing

21. The total programme budget at design and approval was **US\$ 180,303,753** and comprised of **US\$ 30,362,753** GEF financing and **US\$ 149,941,000⁴** co-financing as tabulated below.

Table 3: Total Programme Budget⁵

Programme Objective: To mitigate climate change by transforming national and regional markets to energy efficient products						
Programme Component	Grant Type	Programme Outcomes	Trust Fund	Grant Amount (\$)	Confirmed Co-financing (\$)	Total (US\$)
1. National child projects on energy efficient lighting, appliances, and equipment	TA/ INV	1.1 Markets are transformed to energy efficient lighting, appliances, and equipment providing climate change mitigation benefits (Costa Rica, Kazakhstan, Sudan, Myanmar, Indonesia, Tunisia, South Africa, and Chile STAR allocations)	GEFTF	25,877,225	122,230,238	148,107,463
2. Global services for partner countries	TA	2.1 Countries and regions have the guidance to successfully implement market transformation projects (Global Child project)	GEFTF	2,500,000	17,400,000	19,900,000
		2.2. Increased capacity of 15 countries' officials to develop and implement projects and policies to advance energy				

⁴ Details of confirmed co-financing can be found in Annex 4

⁵ Extract from the Programme Document dated 25 March 2016.

Programme Objective: To mitigate climate change by transforming national and regional markets to energy efficient products						
Programme Component	Grant Type	Programme Outcomes	Trust Fund	Grant Amount (\$)	Confirmed Co-financing (\$)	Total (US\$)
		efficiency of lighting, appliances, and equipment. (Global Child project)				
3. Increasing the ambition of the Global Partnership on Efficient Appliances and Equipment	TA	3.1 Increased number of countries commit to advancing energy efficiency of lighting, appliances, and equipment. (Global Child project)	GEFTF	500,000	4,000,000	4,500,000
Sub Total				28,877,225	143,630,238	172,507,463
Project Management Cost (PMC)			GEFTF	1,485,528	6,310,762	7,796,290
Total project costs				30,362,753	149,941,000	180,303,753

Table 4: Child Projects Budget

Country / Region	Project Title	GEF Agency	GEF Amount (\$)	Agency Fee (\$)	Total (\$)
Chile	GEF 9496: Leapfrogging Chilean's Markets to More Efficient Refrigerator and Freezers	UNEP	1,473,762	132,638	1,606,400
Costa Rica	GEF 9283: Development of a Market for Energy Efficient Lighting, Air Conditioners and Refrigerators in Costa Rica	UNEP	2,000,000	180,000	2,180,000
Indonesia	GEF 9493: Advancing Indonesia's Lighting Market to High Efficient Technologies (ADLIGHT)	UNDP	2,633,372	237,003	2,870,375
		UNEP	1,262,500	113,625	1,376,125
Kazakhstan	GEF 9332: Energy Efficient Standards, Certification, and Labeling for Appliances and Equipment	UNDP	3,500,000	315,000	3,815,000
Myanmar	GEF 9499: Leapfrogging Myanmar's market to high efficiency lighting and appliances	UNEP	2,223,578	200,122	2,423,700
South Africa	GEF 9492: Leapfrogging South Africa's Markets to High Efficiency LED Lighting and High Efficiency Distribution Transformers	UNDP	5,000,000	450,000	5,450,000
		DBSA	5,000,000	450,000	5,450,000
Sudan	GEF 9328: Leapfrogging Sudan's Markets to More Efficient Lighting and Air Conditioners	UNDP	1,770,000	159,300	1,929,300
Tunisia	GEF 9498: Leapfrogging Tunisia's Lighting Market to High Efficiency Technologies	UNEP	2,399,541	215,959	2,615,500
UNEP	GEF 9337: Global Project to Leapfrog Markets to Energy Efficient Lighting, Appliances and Equipment	UNEP	3,100,000	279,000	3,379,000
Total			30,362,753	2,732,647	33,095,400

Table 5: Sources of confirmed project co-financing⁵

6. Implementation Issues

22. The Leapfrogging Markets to High Efficiency Products (i.e. programme under evaluation) was initially designed as GEF 9436 with four child projects (three national level child projects - Costa Rica, Sudan, Kazakhstan and a Global Child Coordination project). In 25 March 2016 it was revised to include child projects in five more countries (South Africa, Indonesia, Chile, Tunisia and Myanmar) and the programme ID was revised as GEF 9083.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

7. Objective of the Evaluation

23. In line with the [UNEP Evaluation Policy](#), the [UNEP Programme Manual](#), and the [GEF Guidelines for Conducting Program Evaluation](#), the Terminal Evaluation is undertaken at operational completion of a program or project to assess 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, other GEF implementing Agencies and the executing partners. 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.

24. Whereas the [GEF Guidelines for Conducting Programme Evaluation](#) require that the earliest a programme evaluation may be initiated is when implementation of at least 60 percent⁶ of its child projects is complete and at least 80 percent of the GEF funding for the program has been utilized, this evaluation has been initiated before meeting these thresholds. The same guidelines acknowledge that some Global Coordinating Projects (especially those approved in GEF-6) were designed for a shorter duration than necessary to meet the threshold conditions for starting program evaluation and, in these cases, an exception is allowed.

8. Key Evaluation Principles

25. 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.

26. **The “Why?” Question.** As this is a Terminal Evaluation and a follow-up programme/project is likely, 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.

27. **Attribution, Contribution and Credible Association:** In order to *attribute* any outcomes and impacts to a programme or 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.

28. **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;

⁶ By the time of drawing these ToRs in June 2025, only three country level child projects (GEF 9328: Sudan, GEF 9493: Indonesia and GEF 9496: Chile) and the Global Coordinating Project (GEF 9337) of the nine child projects had been completed.

a webinar, conference calls with relevant stakeholders, the preparation of an Evaluation Brief or interactive presentation.

9. Key Strategic Questions

29. 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.

Question 1: In what ways, and to what extent, was the private sector involved in programme design, implementation and monitoring?

Question 2: To what extent has the programme influenced (strengthened or otherwise) relationships and power dynamics among market actors within the market systems?

Question 3: Has implementation of the programme led to [systemic change](#) in the market of energy efficient products and appliances?

Question 4: Has the programme effectively contributed to knowledge sharing on best practices among its child projects?

30. 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:**

10. Evaluation Criteria

31. 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

32. 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 programme and child projects 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 Strategy⁷ (MTS), Programme of Work (POW) and Strategic Priorities

33. The Evaluation should assess the programme's alignment with the MTS and POW under which the programme 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 Building⁸ (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

34. 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

⁷ 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>

⁸ <http://www.unep.fr/ozonaction/about/bsp.htm>

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

35. The Evaluation will assess the alignment of the programme 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/Coherence⁹

36. The evaluation will assess both internal and external coherence of the programme. In as far as internal coherence is concerned, the evaluation will assess the extent to which program design tackled the drivers of the environmental challenges it sought to address. It will assess the extent to which the theory of change, governance structure, activities, child projects, and M&E system are aligned with program objectives. It will also discuss whether and how the program design incorporated lessons from past GEF activities and other relevant non-GEF interventions.

37. In terms of external coherence, an assessment will be made of how well the programme and its associated child projects, either at design stage or during inception or mobilization¹⁰, 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 teams, 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.

B. Quality of Programme Design

38. The quality of programme design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Programme Design Quality rating is established. The complete Programme Design Quality template should be annexed in the Evaluation Inception Report. Later, the overall Programme Design Quality rating¹¹ 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.

C. Nature of External Context

39. At evaluation inception stage a rating is established for each of the Child Project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval¹²). 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

40. The evaluation will assess the extent to which programme objectives and targets—as stated in the program framework documents—have been achieved. The evaluation will describe the relevant system boundaries, the drivers of environmental degradation, and the system transformation outcomes targeted by

⁹ This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

¹⁰ 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.

¹¹ 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.

¹² 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.

the program. It will present an assessment of the extent to which progress has been made in achieving the targeted outcomes and long-term impacts of the programme framework document. If the document provides targets for expected program outputs, their level of achievement will also be covered.

41. The evaluation will aggregate data on expected and actual contributions of the programme and its child projects to GEF corporate results targets (core indicators). The targets provided in the programme framework document will provide a basis for comparison with actual results. For child projects that may still be under implementation, progress made up to the point of evaluation will be reported.

*i. Availability of Outputs*¹³

42. The Evaluation will assess the child projects' success in producing the programmed outputs and making them available to the intended beneficiaries as well their success in achieving milestones as per the project design documents (ProDocs) of the child projects under the programme. Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the outputs are inappropriately or inaccurately stated in the Child Project ProDocs, 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.

*ii. Achievement of Programme Outcomes*¹⁴

43. The achievement of project outcomes is assessed as performance against the programme outcomes as defined in the reconstructed¹⁵ Theory of Change. These are outcomes that are intended to be achieved by the end of the programme timeframe and within the programme's resource envelope. Emphasis is placed on the achievement of programme outcomes that are most important for attaining intermediate states. As with outputs, a table can be used where substantive amendments to the formulation of programme outcomes is necessary to allow for an assessment of performance. The Evaluation should report evidence of attribution between programme interventions and the programme 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.

iii. Likelihood of Impact

44. 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.

45. 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 disproportionately 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.

¹³ 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)

¹⁴ Outcomes are the use (*i.e. uptake, adoption, application*) of an output by intended beneficiaries, observed as changes in institutions or behaviour, attitude or condition (UNEP, 2019)

¹⁵ 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.

46. The Evaluation will consider the extent to which the project has played a catalytic role¹⁶ 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.

47. 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).

48. The evaluation will also assess for indicators systemic change such as copying, replication, scale-up, and market change that indicate progress toward environmental and social changes at scales beyond that directly addressed by the programme activities. The evaluation will identify and document any specific elements of the programme that are being adopted beyond GEF support and the extent to which experiences from one child project have influenced activities in others and, where applicable, the role played by the coordinating project in the process.

E. Financial Management

49. Financial management will be assessed under two themes: *adherence* to UNEP and GEF fiduciary standards as set out in the [Policy on Minimum Fiduciary Standards](#), and Programme cofinancing. 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 GEF and 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 review cofinancing sources, cofinancing commitments, and activities supported through cofinancing. It will report on the type of cofinancing mobilized: cash or in kind, grant, loan, or equity; managed by the GEF Agency implementing the program or in parallel by other partner organizations. It will provide information on the extent to which expected cofinancing materialized and was timely. In cases where materialization of cofinancing deviated from commitments, or where there was a delay in materialization, the report will discuss the reasons for these, and the effects on program implementation and results.

F. Efficiency

50. Under the efficiency criterion the Evaluation will assess the extent to which the child projects under the programme individually and collectively delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution.

51. 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 child project extension could have been avoided through stronger project management and identify any negative impacts caused by child 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 child projects were implemented in the most efficient way compared to alternative interventions or approaches.

52. 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 complementarities¹⁷ with other initiatives, programmes and projects etc. to increase project efficiency.

¹⁶ 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.

¹⁷ Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

53. 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.

G. Monitoring and Reporting

54. The Evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and reporting for both the programme and child projects.

i. Monitoring Design and Budgeting

55. The evaluation will assess the program's M&E plan. The assessment will consider the extent to which the M&E plan was practical and well thought out. For example, did it clearly identify the M&E activities at the programme level and how these will draw on the M&E activities to be implemented at the child project level? Each child project should be supported by a sound monitoring plan that is designed to track progress against SMART¹⁸ 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. The evaluation will also assess if the program's M&E plan adequately addressed the programme's theory of change, GEF M&E requirements, incorporated applicable core indicators and tracking tools, and provided baseline information. It will discuss whether the indicators specified to track environmental, gender, socioeconomic, and other results are appropriate (SMART) and consistent across child projects.

ii. Monitoring of Programme and Child Project Implementation

56. 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.

57. 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

58. 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.

H. Sustainability

59. Sustainability¹⁹ is understood as the probability of the benefits derived from the achievement of programme 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 assessment of bio-physical factors that may affect the sustainability of project outcomes may also be included.

i. Socio-political Sustainability

¹⁸ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

¹⁹ 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)

60. The Evaluation will assess the extent to which social or political factors support the continuation and further development of the benefits derived from programme 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

61. 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. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

iii. Institutional Sustainability

62. The Evaluation will assess the extent to which the sustainability of programme 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.

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

63. This criterion focuses on the inception or mobilisation stage of the child projects (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

64. 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 projects²⁰, 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.

65. 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

66. 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

²⁰ 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 provide an overall rating for Quality of Project Management and Supervision

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.

67. The progress, challenges and outcomes regarding engagement of stakeholders in the project/programme 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

68. 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 Environment²¹.

69. 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.

70. Note that the child 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.

71. 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

72. 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 requirements²² 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 *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).

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

74. 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

²¹The 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

²²For 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.

75. 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

76. The Evaluation will assess the effectiveness of: a) communication of learning and experience sharing between programme and 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 programme 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.

77. 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

78. 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.

79. In line with the [GEF Guidelines for Conducting Programme Evaluation](#), which recommend embedding systems thinking in GEF programme evaluations, the Terminal Evaluation will apply a Market Systems Development (MSD) lens in its analysis. Whereas the programme was not designed as an MSD intervention, it should be noted that all the child projects except the Global Coordinating Project (GCP) propose market-based solutions to the transition to energy efficient products and appliances. Moreover, the proposed “menu options” for child projects in [Section 3. Programme Results Framework](#) mirror the building blocks of the “MSD wheel” as illustrated below.

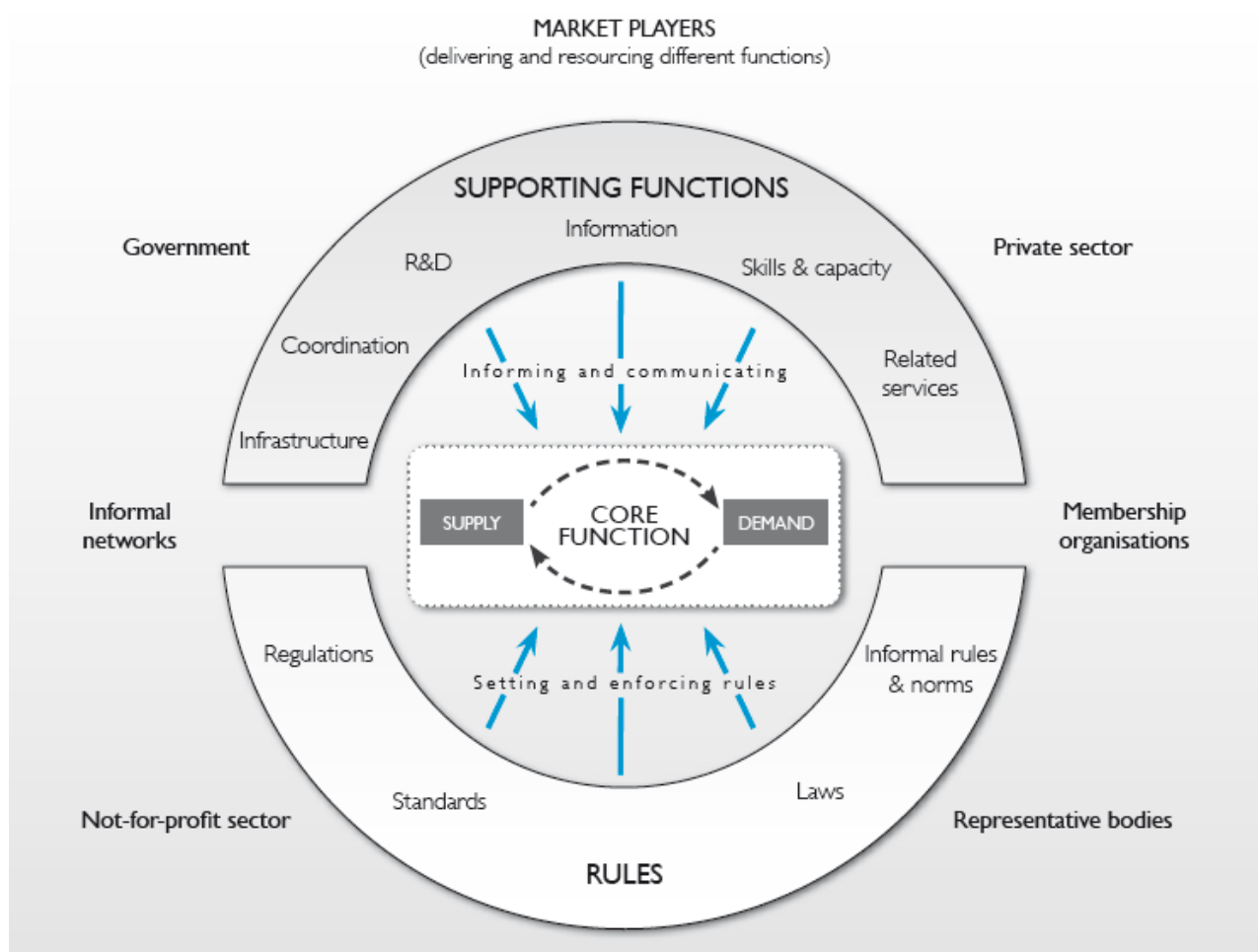


Figure 2: Market System. Adopted from [A Synthesis of the Making Markets Work for the Poor \(M4P\) Approach](#)

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

1. A **desk review** of:

- Relevant background documentation, inter alia Programme Framework Document (PFD), Request for CEO endorsement and associated attachments for all the child projects, Project Cooperation Agreement (PCA) and its associated amendments for all the child projects].
- Programme and Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the programme, and projects, grant agreements, the logical framework and budgets.
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, steering committee meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool, project Geographical Information Systems (GIS) data etc.
- Project deliverables.

2. **Synthesised Analysis** of the Mid Term and Terminal Evaluations/ Reviews of the child projects under the programme

- GEF 9496: Leapfrogging Chilean's Markets to More Efficient Refrigerator and Freezers (TR)
- GEF 9328: Leapfrogging Sudan's Markets to More Efficient Lighting and Air Conditioners (TE)
- GEF 9332: Energy Efficient Standards, Certification, and Labeling for Appliances and Equipment (MTR; suspended)
- GEF 9337: Global Project to Leapfrog Markets to Energy Efficient Lighting, Appliances and Equipment (MTR)
- GEF 9493: Advancing Indonesia's Lighting Market to High Efficient Technologies (ADLIGHT) (MTR)
- GEF 9496: Leapfrogging Chilean's Markets to More Efficient Refrigerator and Freezers (TR)
- GEF 9498: Leapfrogging Tunisia's Lighting Market to High Efficiency Technologies
- GEF 9499: Leapfrogging Myanmar's market to high efficiency lighting and appliances (suspended)

3. **Market Analysis** of energy efficient lighting, appliances, and equipment with a focus on:

A. 'Core Market' Functions

- **Production:** Local and international manufacturers producing energy-efficient lighting (e.g., LED bulbs), appliances (e.g., energy-efficient freezers) and energy-efficient equipment.
- **Distribution:** Wholesalers, retailers, and last-mile distributors ensuring energy-efficient products reach consumers.
- **Retail and Sales:** Retailers and sales agents selling energy-efficient products to consumers, often through innovative models like pay-as-you-go (PAYG) systems.
- **Consumption:** Households, businesses, and institutions purchasing and using energy-efficient lighting, appliances and equipment.

B. Supporting Functions

- **Financing:** Financial institutions providing credit or PAYG options for consumers and working capital for businesses.
- **Marketing and Awareness:** Campaigns to educate consumers about the benefits of energy-efficient products and build trust in their quality.
- **Technical Support:** Training for retailers and technicians on product installation, maintenance, and after-sales services.
- **Research and Development:** Innovation in product design and technology to improve efficiency and reduce costs.
- **Information Systems:** Platforms for sharing market data, such as consumer demand and product performance.

C. Rules

- **Quality Standards:** Certification and labeling schemes to ensure energy-efficient products meet performance and safety standards.
- **Government Policies:** Tax incentives, subsidies, or import duty reductions for energy-efficient products; bans on inefficient products (e.g., incandescent bulbs).
- **Environmental Regulations:** Laws and regulations promoting renewable energy and energy efficiency to reduce carbon emissions.
- **Cultural Norms:** Consumer preferences and behaviours that influence the adoption of energy-efficient products.

4. Interviews (individual or in group) with:

- UNEP Task Managers (TM).
- The Executing Agencies [UNEP, UNDP, Development Bank of South Africa, Inter-American Development Bank]
- Project management team.
- Steering Committee members
- Technical Advisory Committee
- UNEP Fund Management Officers (FMOs).
- Portfolio Manager and Sub-Programme Coordinator.
- Executing Agencies - Participating country institutions,
 - Ministry of Environment (MINAE), Costa Rica
 - Ministry of Water Resources, Irrigation and Electricity – The Electricity Regulatory Authority, Sudan
 - Ministry of Investment and Development, Kazakhstan
 - Department of Energy, South Africa
 - Ministry of Energy and Mineral Resource (MEMR), Indonesia
 - Ministry of Energy, Chile
 - Agence Nationale de la Maitrise de l'Energie (ANME), Tunisia
 - Ministry of Industry, Myanmar
- Project partners.
- Private Sector
 - ABB
 - Arcelik A.S.
 - BSH
 - Electrolux
 - Haier
 - LG
 - MABE
 - OSRAM Licht AG
 - Philips Lighting BV
 - Samsung
- Other relevant resource persons / institutions.
- Representatives from civil society and specialist groups (such as academia, research institutions, and think tanks).
 - International Copper Association (ICA)
 - Global Lighting Association

5. Field visits: these will be determined at inception and will be selected to validate the performance findings of secondary evaluative material (e.g. MTR reports and/or TE/TR reports) for selected Child Projects.**6. Other data collection methods and tools as necessary e.g. GIS data analysis.**

81. An **Evaluation Reference Group (ERG)** will provide strategic direction to the Evaluation -based on their own experiences and contextual knowledge- and boost buy-in to, and the credibility and legitimacy of, the evaluation process across the range of evaluation stakeholders.

The ERG will be comprised of members drawn from the IAs.

- a) UNEP
- b) UNDP
- c) DBSA

82. The ERG will discuss and provide comments on:

- the demand for the Evaluation – to ensure the Evaluation will meet the needs of its intended users (through a review of the evaluation terms of reference);
- the overall evaluation approach and the reconstructed Theory of Change of the project to help shape the Evaluation;
- the preliminary findings and recommendations of the Evaluation; and
- the Draft Evaluation Report, including the evaluation recommendations.

83. The ERG will appoint one of their members as the Chair. The Evaluation Office of UNEP will provide the secretariat to the ERG. ERG feedback and comments at different stages of the evaluation process will be collated by the Evaluation Manager during planned discussion meetings. The Evaluation Manager will, in consultation with the Chair and other ERG members, set the agenda for the discussion meetings and support these meetings logistically. It is expected that four such meetings will be held during the evaluation process, as shown in Table 6.

Table 6 Evaluation Reference Group meetings

Meeting	Purpose	Location	Tentative date
1st	Introduce the ERG members Elect the Chair Discuss the TORs	Online	September 2025
2nd	Discuss the Theory of Change of the project Discuss the evaluation framework	Online	October 2025
3rd	Discuss the preliminary findings of the Evaluation	Online	December 2025
4th	Discuss the draft evaluation report, including the recommendations	Online	February 2026

11. Evaluation Deliverables and Review Procedures

84. The Evaluation Team will prepare:

- **Inception Report:** (see Annex 1 for a list of all templates, tables and guidance notes) containing an assessment of programme design quality, a draft reconstructed Theory of Change of the programme, 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 teams, 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 4-6 page overview of the evaluand and key evaluation findings) for wider dissemination through the UNEP website will be required. This will be discussed with the Evaluation Manager no later than during the finalization of the Inception Report.

85. **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 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.

86. 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 ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

87. 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.

88. 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.

12. The Evaluation Team

89. For this Evaluation, the Evaluation Team will consist of a Principal Evaluator and one Market Systems Development Expert who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager [Stephen Baguma] in consultation with the UNEP Task Manager, Fund Management Officer the Sub-programme Coordinator for Climate 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.

90. The Principal Evaluator will be hired over a period of six (6) months [September 2025 to February 2026] 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 protected areas management 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 Arabic, Spanish and Russian 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 field visits.

91. The Market Systems Development Expert will be hired over a period of six (6) months [August 2025 to January 2026] and should have the following: a university degree in economics, marketing, international development or other relevant 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 Theory of Change and Market Systems Development (MSD) approaches; 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 Arabic, Spanish and Russian 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 field visits.

92. Specific Responsibilities for Principal Evaluator:

The Principal Evaluator will be responsible, in close consultation with the Evaluation Manager, for overall management of the Evaluation and timely provision of its outputs, described above in Section 11 Evaluation Deliverables.

Inception phase of the Evaluation, including:

- 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 his attention and intervention.

93. Specific Responsibilities for the Market Systems Development Expert:

The Market Systems Development Expert will lead the market analysis and make substantive and high-quality contributions to the evaluation process and outputs. Both consultants will ensure together that all evaluation criteria and questions are adequately covered.

Inception phase of the Evaluation, including:

- 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;

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;

13. Schedule of the Evaluation

The table below presents the tentative schedule for the Evaluation.

Table 7: Tentative schedule for the Evaluation

Milestone	Tentative Dates
Evaluation Initiation Meeting	April 2025
Inception Report	August 2025
E-based interviews, surveys etc.	September 2025
Evaluation Mission	September 2025
PowerPoint/presentation on preliminary findings and recommendations	October 2025
Draft report to Evaluation Manager (and Peer Reviewer)	November 2025
Draft Report shared with UNEP Project Manager and team	November 2025
Draft Report shared with wider group of stakeholders	December 2025
Final Report	January 2026
Final Report shared with all respondents	February 2026

14. Contractual Arrangements

94. 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.

95. 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 8: Schedule of Payment for the Principal Evaluator

Deliverable	Percentage Payment
Approved Inception Report (<i>as per Guidance Note</i>)	30%
Approved Draft Main Evaluation Report (<i>as per Guidance Note</i>)	30%
Approved Final Main Evaluation Report (<i>as per Report Template</i>)	40%

Table 9: Schedule of Payment for the Market Systems Development Expert

Deliverable	Percentage Payment
Approved Inception Report (<i>as per Guidance Note</i>)	30%
Approved Draft Main Evaluation Report (<i>as per Guidance Note</i>)	30%
Approved Final Main Evaluation Report (<i>as per Report Template</i>)	40%

96. 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.

97. 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.

98. 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.

99. 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 standard²³.

²³ This may include contract cancellation in-line with prevailing UN Secretariat rules.

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

100. 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.

101. 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.

102. **ADVICE TO CONSULTANTS:** As our tools, templates and guidance notes are updated on a continuous basis, kindly download documents from the link below and use those versions throughout the Evaluation.
<https://communities.unep.org/display/EOU/INDEPENDENT+EVALUATION+TOOLS+AND+TEMPLATES>

List of tools, templates and guidance notes available

Terminal Evaluation Essential Tools

-  00 Evaluation Tools 05.05.25
-  01 UNEP Glossary of Results Definitions_December 2023
-  02 List of Documents for Evaluation 05.05.25
-  03 Evaluation Criteria 05.05.25
-  04 Evaluation Criteria Ratings Matrix 05.05.25
-  05 Weighted Ratings Table 15.05.25
-  06 Evaluation Methodology Guidance 05.05.25

Terminal Evaluation Inception Report

-  07 Project Identification Table 05.05.25
-  08 Inception Report Template 05.05.25
-  09 TOC Reformulation Justification Table 05.05.25
-  10 Quality of Project Design Table 05.05.25
-  11 Quality of Project Design Weighted Ratings Tool 01.04.25
-  12 Stakeholder Analysis Guidance 31.01.24
-  13 Gender Methods Guidance 31.01.24
-  14 Safeguards Assessment Template 15.05.25

Terminal Evaluation Main Evaluation Report

-  15 Preliminary Findings Tables 05.05.25
-  16 GEF Evaluation Main Report Template 05.05.25
-  17 NonGEF Evaluation Main Report Template 05.05.25
-  18 Respondents Table 05.05.25
-  19 Financial Tables 05.05.25
-  20 Strategic Relevance Tables 05.05.25
-  21 Outputs Table 05.05.25
-  22 Outcomes Table 05.05.25
-  23 Impact Table 05.05.25
-  24 Likelihood of Impact Flow Chart 31.01.24
-  25 Recommendations Quality Guidance 15.05.25
-  26 Recs and Lessons Learned Tables 05.05.25
-  27 GEF Portal Annex Template 31.01.24
-  28 Quality Of Eval Report FINAL ONLY 31.01.2024 FOR USE BY UNEP

Terminal Evaluation Process Guidance

-  Process 1_Evaluation Process Guidelines for Consultants 31.01.2024
-  Process 2_Template for Attestation Letter 31.01.2024
-  Process 3_Evaluation Consultants Agreement Form 31.01.2024
-  Process 4_Guidelines for Field Work During Coronavirus 31.01.2024
-  Process 5_Evaluation Consultants Team Roles 31.01.2024
-  Process 6_Template for Reference Checks 31.01.2024
-  Process 7_Letter of Introduction for Visa Applications Template 31.01.2024

Annex 2: GEF Portal Inputs

The following table contains text to be uploaded to the GEF Portal. **It will be drawn from the Evaluation Report, either as copied or summarised text.** In each case, references should be provided for the paragraphs and pages of the report from which the responses have been copied or summarised.

Table II: GEF portal inputs

Question: What was the performance at the programme's completion against Core Indicator Targets? (For projects approved prior to GEF-7 ²⁴ , these indicators will be identified retrospectively and comments on performance provided ²⁵).
Response: <i>(Might be drawn from Monitoring and Reporting section)</i>
Question: What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/programme as evolved from the time of the MTR? <i>(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)</i>
Response: <i>(Might be drawn from Factors Affecting Performance section)</i>
Question: What were the completed gender-responsive measures and, if applicable, actual gender result areas? <i>(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)</i>
Response: <i>(Might be drawn from Factors Affecting Performance section/Responsiveness to Human Rights and Gender Equality)</i>
Question: 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 reports should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. <i>(Any supporting documents gathered by the Consultant during this review should be shared with the Task Manager for uploading in the GEF Portal)</i>
Response: <i>(Might be drawn from Factors Affecting Performance section/Environmental and Social Safeguards)</i>
Question: What were the challenges and outcomes regarding the programme'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? <i>(This should be based on the documentation approved at CEO Endorsement/Approval)</i>
Response: <i>(Might be drawn from Factors Affecting Performance section/Communication and Public Awareness)</i>
Question: What are the main findings of the evaluation?
Response:

²⁴ The GEF is currently operating under the seventh replenishment period of the GEF Trust Fund covering the period July 1, 2018 to June 30, 2022. The GEF Portal Reporting Guide for FY20 Reporting Process indicates that GEF-6 projects that have yet to map existing indicators to GEF-7 Core Indicators need to do so at MTR stage or (if already there) at the time of the TE. (i.e. not GEF projects approved before GEF-6)

²⁵ This is not applicable for Enabling Activities

Annex 3: Detailed Description of the Project Components

COMPONENT 1: NATIONAL CHILD PROJECTS ON LIGHTING, APPLIANCES, AND EQUIPMENT

103. The Global Leapfrogging Programme proposed five menu options to countries to be implemented as child projects to the programme. Based on national circumstances, the countries had the option of implementing combinations of one or more menu options for a defined set of appliances and equipment, as long as the country met the GEF child project selection criteria. Further, the Global Leapfrogging Programme allowed countries to define the products of focus to be included in the child project based on their national circumstances. Potential products that could be selected included: refrigerators, room air conditioners, electric motors (0.75kW to 375kW), distribution transformers, water heaters, lamps and controls, and other potential priority products such as pumps, TVs, computers and set-top boxes. Priority products could be selected based on the level of policies in place in the country and/or the products that offer the highest potential energy and greenhouse gas savings. The menu options follow the integrated policy approach developed under the UNEP/GEF en.lighten initiative to phase-out inefficient products from the market.

Menu Option 1: *National strategy for advancing market to energy efficient products*

104. The programme will develop countries' national strategies for energy efficient products. The purpose of a national strategy is to focus priorities by developing a common vision and goals on transforming the market to energy efficient products. The strategy will define the scope of products based on an assessment of electricity demand and electricity usage, as well as anticipated consumer trends. The strategy will set national objectives and a detailed roadmap based on the integrated policy approach for each individual product, or, groups of products.

105. Each national strategy can and should be set to align with national climate change mitigation goals and commitments and include following ingredients:

- Detailed estimated savings (GHG, financial, and energy) to inform decision making on developing policies, strategies, and projects.
- Defining the scope of products to be included in the national strategy based on the country circumstances.
- Identifying and quantifying national efficiency objectives and targets.
- Formation of working groups on MEPS, MVE, supporting policies and environmentally sound management.
- Work plan describing how to reach the country's goals, including responsible organizations, key persons, deliverables and a timeline.
- Training and capacity building with stakeholders to understand the economic, social, and environmental benefits of advancing a market to energy efficient products.

Menu Option 2: *Implementation of regulatory mechanisms, including minimum energy performance standards (MEPS)*

106. MEPS are mandatory measures that permanently remove the least efficient products from the market and thereby encourage innovation and rapid adoption of higher efficiency products. Menu Option 2 is designed to support countries in developing regulatory mechanisms, including MEPS. Activities will include:

- Determining the performance levels and other requirements of the products, taking into account national circumstances and the potential to harmonize with international or regional standards.
- Input from stakeholders including government standards and test agencies, customs, standardization institutes, certification and accreditation bodies, test laboratories, manufacturers, suppliers and distributors of lamps, consumer organizations, civil society, technology research institutes, electric utilities and private sector.
- Definition of authority to promulgate the MEPS (such as a standards body) and a specified timescale to make updates.

Menu Option 3: *Creation of monitoring, verification and enforcement (MVE) capacities in countries and regions to ensure an effective transition to efficient appliances and equipment markets*

- Developing a MVE scheme and programme entry conditions by defining the specific elements of monitoring, verification, and testing, and various options for addressing non-compliant products;
- Implementing in coordination with standards and labelling programmes;
- Developing and/or strengthening testing capacity and regional cooperation; laboratories and expanding capacity;
- Regional collaboration and harmonization to reduce costs through shared laboratories and increased trade of products.

Menu Option 4: Supporting policies for the market transformation to energy efficient products

107. Supporting activities such as communication campaigns, distribution projects, and financial schemes can all assist in facilitating public acceptance and deployment of efficient products in the market. These policies and strategies assist in overcoming barriers of lack of knowledge of energy efficiency and the barrier of increased upfront costs (purchase price of the product).

- **Financial Mechanisms** will be designed to assist purchasers to meet the initial costs of products and to capture the savings over the products' lifetimes.
- **Public awareness campaigns** will explain the meaning of energy labels and the rationale for minimum standards and encourage their use in purchase decisions.
- **Distribution campaigns** to a portion of society, such as underprivileged populations, can allow for increased familiarity of energy efficient products and their benefits, therefor increasing demand for the products.

108. **Demonstration projects** in high profile public buildings or in businesses show other purchasers and the public that high efficiency products work well and deliver measurable savings. This component will also support developing countries that have national manufacturing or assembly to be able to produce products with high-energy efficiency and in environmentally sustainable manner. Three activities are proposed to enhance the capacities of local manufacturers and supporting the conversion of their facilities to produce energy efficient products.

- Training to design and manufacture higher efficiency products:.
- **Access to financing for improved facilities: Menu Option 5:** Ensuring environmentally sound management and sustainable transition to efficient appliances and equipment

109. Environmentally sound management systems ensure that precautions are taken to safeguard the environment and human health throughout the full lifecycle of appliances and equipment. An environmentally sound management legal framework incorporates and expands upon existing laws and efforts. Support will be given to ensure compliance with global international agreements for the reduction and safe management of hazardous waste, such as the Minamata Convention on Mercury, Stockholm Convention on Persistent Organic Pollutants, and Basel Convention on the Control of Transboundary Movement of Hazardous Waste. This component will coordinate with UNEP's OzonAction Team in the development of Refrigerant Management Plans, standards and actions combining the objectives of eliminating ozone depletion with reducing GHG emissions.

- National frameworks and strategies are developed for environmentally sound management of appliances and equipment;
- Training is delivered to government authorities, retailers and collection services;
- Waste management systems are established for spent products;
- Communication campaigns on proper disposal of used products.

COMPONENT 2: GLOBAL SERVICES FOR PARTNER COUNTRIES

110. Component 2 of the Global Leapfrogging Programme extends the activities of the virtual Global Centre of Excellence, founded under the Efficient Appliance and Equipment Global Partnership Programme and funded under GEF project "Establishing the Foundations of a Partnership to Accelerate the Global Market Transformation for Efficient Appliances and Equipment." The virtual Centre of Excellence is supported by a network of experts from partner public organizations and private sector companies, including UNDP, [CLASP](#), bigEE (Wuppertal Institute) Topten, Department of Industry, Australia, IEA-4E, Copenhagen Centre on Energy Efficiency, Philips Lighting BV, OSRAM Licht AG, International Copper Association (ICA), ABB, Mabe, Arcelik, BSH, Haier, Gree Electric, and Electrolux.

111. Implementation of Component 2 would result in countries being prepared to successfully implement the activities of a market transformation project while also ensuring that resources are not duplicated with each project (for example guides being used across all GEF projects). This approach provides increased coordination between countries as they develop the policies in the country based off best practice recommendations. Further, this component planned to support 15 partner countries to have increased capacities (through training) to carry out projects and policies to transform their market. The 15 partner countries would be identified under the GEF project [“GEF 5831: Establishing the Foundations of a Partnership to Accelerate the Global Market Transformation for Efficient Appliances and Equipment.”](#) The 10 “national-child project” countries would also be provided with training that would be funded through global funding. The resources and support include:

- ‘How to’ guides (available to 100 country partners):
- Remote support (available to 100 country partners):
- Regional status reports (available to 100 country partners):
- ***Training for trainers (available to 15 “non-national-child project” countries and up to 10 “national-child project” countries):*** The ‘how to’ guides, remote support, and regional status reports will be available to all countries that partner with the initiative. The programme will prioritize the countries that will be included in the training based on their ambition to implement policies, obtained funding to carry out the policies, and also based on GHG emission reductions potential.

112. The virtual Centre of Excellence will communicate the availability of the tools and ensure the child projects do not duplicate resources/tools within their own project.

COMPONENT 3: OUTREACH ON EFFICIENT APPLIANCES AND EQUIPMENT

113. Through Component 3 of the Global Leapfrogging Programme, there will be increased number of governments committing to advance their markets to energy efficient appliances and equipment. The programme will achieve commitment of 100 countries, increasing by 70 over the goal of the GEF SE4ALL Global Project (Establishing the Foundations of a Partnership to Accelerate the Global Market Transformation for Efficient Appliances and Equipment - UNEP #5831). To complete this, the Global Leapfrogging Programme will use the resources and tools developed under SE4ALL Global Project (#5831), such as the country-by-country assessments and best practice policy guides. Carrying-on the global campaign from the preparatory SE4ALL Global Project, this component will host regional workshops to gain the political commitment from governments to transform their markets, while also encouraging increased regional harmonization. The programme will utilize tools and reports developed under [GEF project #5831](#) to maximize GEF resources, such as using the country Assessments and policy brochures on best practice policies.

- ***Regional workshops launching regional status reports and regional/national commitment:*** Regional workshops will be hosted in each region to bring together each country’s ministry of energy, ministry of environment, and standard authority. The workshops will gain political commitment from governments to transition their markets to energy efficient products and also form agreement within the region to harmonize policies and standards. The workshops will provide the opportunity for increased coordination across projects with best practice policies and for countries to provide lessons learned on the existing policies and projects.
- ***Side events alongside major environmental and energy events:*** The programme will host side events and workshops alongside major environmental and energy events to ensure that energy efficiency of lighting, appliances, and equipment stays at the top of the agenda in order to receive commitment for national decisions makers to advance their markets.

Annex 4: Sources of confirmed project co-financing

Country	Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
Chile	Private Sector	Electrolux	In-kind	250,000
		Samsung	In-kind	2,000,000
		LG	In-kind	1,500,000
		MABE	In-kind	1,500,000
	Civil Society	Fundación Chile	In-kind	50,000
	Recipient Country Government	Ministry of Energy	In-kind	200,000
		Ministry of Environment	In-kind	1,500,000
	GEF Agency	UNEP	In-kind	500,000
Costa Rica	Other	bigEE (Wuppertal Institute, Germany)	In-kind	500,000
		CLASP	In-kind	100,000
		Copenhagen Centre on Energy Efficiency (C2E2)	In-kind	100,000
		International Partnership for Energy Efficiency Cooperation	In-kind	800,000
		Topten	In-kind	800,000
	Recipient Country Government	Government of Costa Rica	In-kind	50,000
	Private Sector	BSH	In-kind	25,000
		Electrolux	In-kind	200,000
		International Copper Association (ICA)	In-kind	800,000
		MABE	In-kind	800,000
		National Lighting Test Center (NLTC), China	In-kind	800,000
		OSRAM Licht AG	In-kind	500,000
		Philips Lighting BV	In-kind	800,000
	GEF Agency	Inter-American Development Bank (IADB)	Loan	100,000
		UNEP	In-kind	2,000,000
Global	GEF Agency	Inter-American Development Bank (IADB)	Grant	1,000,000
		Inter-American Development Bank (IADB)	Loan	3,000,000
		UNDP	In-kind	300,000
		UNEP	In-kind	300,000
	Other	bigEE (Wuppertal Institute, Germany)	In-kind	550,000
		CLASP	In-kind	700,000
		Copenhagen Centre on Energy Efficiency (C2E2)	In-kind	800,000
		IEA-4E	In-kind	100,000
		International Partnership for Energy Efficiency Cooperation	In-kind	500,000
		Topten	In-kind	300,000
	Private Sector	ABB	In-kind	1,200,000
		Arcelik A.S.	In-kind	1,200,000
		BSH	In-kind	1,200,000
		Electrolux	In-kind	1,200,000
		Global Lighting Association	In-kind	400,000
		Gree Electric	In-kind	1,200,000
		Haier	In-kind	1,200,000
		International Copper Association (ICA)	In-kind	1,200,000
		MABE	In-kind	1,200,000
		National Lighting Test Center (NLTC), China	In-kind	300,000
		Natural Resources Defense Council (NRDC, USA)	In-kind	50,000
		OSRAM Licht AG	In-kind	1,200,000
		Philips Lighting BV	In-kind	1,200,000
		Southern African Development Community	In-kind	700,000
		Southern African Power Pool	In-kind	700,000
Indonesia	Recipient Country Government	Ministry of Energy and Mineral Resource	In-kind	70,000
		Ministry of Energy and Mineral Resource	In-kind	70,000
	Private Sector	National Lighting Test Center (NLTC), China	In-kind	13,550,000
		Osram	In-kind	200,000
		Philips	In-kind	350,000
		Indonesian Lighting manufacturers	In-kind	40,000

Country	Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
	Other	Super-Efficient Equipment and Appliance Deployment (SEAD)	In-kind	350,000
		European Commission (Switch Asia)	Grant	80,000
	GEF Agency	UNDP	In-kind	3,000,000
		UNEP	In-kind	8,950,000
Kazakhstan	Recipient Country Government	Ministry of Investment and Development	In-kind	300,000
		National Energy Saving Programme	In-kind	5,000,000
	Private Sector	Supply Chain Stakeholders	In-kind	1,200,000
	GEF Agency	UNDP	In-kind	11,000,000
Myanmar	Donor Agency	Asian Development Bank	Grant	250,000
		European Commission (Switch Asia)	Grant	50,000
	Private Sector	Electrolux	In-kind	250,000
		Osram	In-kind	250,000
		Philips Lighting	In-kind	250,000
		Local appliance industry	Equity Investment	250,000
	Recipient Country Government	Ministry of Industry	In-kind	1,000,000
	GEF Agency	UNEP	In-kind	1,000,000
South Africa	Private Sector	ABB	In-kind	5,000,000
		CLASP	In-kind	5,000,000
	Multilateral	Copenhagen Centre on Energy Efficiency (C2E2)	In-kind	200,000
		IEA Solid State Lighting Annex	In-kind	200,000
		Super-Efficient Equipment and Appliance Deployment (SEAD)	In-kind	1,500,000
	GEF Agency	DBSA	In-kind	400,000
		DBSA - Green Fund	Loan	20,000
	Recipient Country Government	Department of Energy, South Africa	In-kind	150,000
		Department of Environmental Affairs	In-kind	100,000
	Private Sector	Eskom	In-kind	100,000
		International Copper Association (ICA)	In-kind	1,500,000
		National Lighting Test Center (NLTC), China	In-kind	19,000,000
		Osram	In-kind	3,000,000
		Philips	In-kind	250,000
	Recipient Country Government	SANEDI	In-kind	1,500,000
	GEF Agency	UNDP	Grant	600,000
		UNDP	In-kind	500,000
		UNEP	In-kind	700,000
Sudan	Multilateral	CLASP	In-kind	50,000
		Copenhagen Centre on Energy Efficiency (C2E2)	In-kind	50,000
		International Copper Association (ICA)	In-kind	1,000,000
	Recipient Country Government	Electricity Regulatory Authority (ERA)	Grant	500,000
		Sudanese Standards and Metrology Organization (SSMO)	In-kind	200,000
		Merowe Dam Electricity Company	Grant	200,000
		Sudanese Electricity Distribution Company (SEDC)	Grant	200,000
		Sudanese Thermal Power Generation Company	Grant	2,756,000
		Ministry of Water Resources, Electricity and Irrigation (MWR)	Grant	1,000,000
	Private Sector	National Lighting Test Center (NLTC), China	In-kind	1,000,000
		Osram	In-kind	1,000,000
		Philips	In-kind	100,000
		Air conditioner manufacturers	In-kind	50,000
	GEF Agency	UNEP	In-kind	100,000
Tunisia	Donor Agency	Bilateral Aid (TBD)	Grant	150,000

Country	Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
	Recipient Country Government	Government of Tunisia	In-kind	30,000
	Private Sector	Local Lighting Industry	In-kind	500,000
		Osram	In-kind	500,000
		Philips Lighting	In-kind	500,000
		The Global Efficient Lighting Center	In-kind	300,000
	GEF Agency	UNEP	In-kind	15,000,000
<i>Sub Total</i>			Equity	<i>1,000,000</i>
<i>Sub Total</i>			Grants	<i>3,520,000</i>
<i>Sub Total</i>			In-kind	<i>136,921,000</i>
<i>Sub Total</i>			Loans	<i>8,500,000</i>
TOTAL				149,941,000