



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE

Independent terminal evaluation of project

Industrial Energy Efficiency

UNIDO ID: 103049

GEF Project ID: 3601

September 2018

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I. PROJECT BACKGROUND AND CONTEXT

1. Project factsheet¹

Project title	Industrial Energy Efficiency
UNIDO ID	103049
GEF Project ID	3601
Region	East Asia Pacific
Country	Republic of the Philippines
Project donor(s)	GEF
Project implementation start date	16/04/2011
Expected duration	66 months
Expected implementation end date	31/12/2018
GEF Focal Areas and Operational Project	CC-SP2 - GEF-4
Implementing agency	UNIDO
Executing Partners	Department of Energy (DOE), Department of Trade and Industry (DTI)
Donor funding	USD 3,166,065
Project GEF CEO endorsement / approval date	17 February 2011
Co-financing at CEO Endorsement, as applicable	USD 24,000,000
Total project cost (USD), excluding support costs and PPG	USD 27,166,065
Mid-term review date	April 2016
Planned terminal evaluation date	March 2019

(Source: Project document)

2. Project context

According to the Asia Development Bank (ADB) data, the whole Filipino economy grew very steadily in the biennium 2005-2007: the GDP increased from 5% to 7.1%, while the industry's growth rate was between 3.8% and 6.8%. The industry contribution to the GDP was almost one third, and the manufacturing sub-sector alone contributed 71%. As a consequence, the total energy demand in the Republic of the Philippines increased regularly and it is predicted to double by 2030, growing at about 4% annually, with the industrial sector accounting for almost one quarter of total energy demand of the country. A similar pattern is expected for the electricity demand (4.7% per industry).

At the same time, electricity tariffs in the Philippines are among the highest in the region and in many industry sectors power and fuel are significant components of total operating costs. This results in a lack of competitiveness of the industry and the need to reduce production cost and to promote sustainable and low-carbon development.

¹ Data to be validated by the Consultant

Furthermore, due to its modest proven fossil fuel reserves, Philippines is highly dependent on imports and is susceptible to price shocks from volatility in world oil prices. All in all, energy efficiency is becoming more and more a priority for both the Government and the industrial sector and, despite some efforts initiated by the Government, works still needs to be done in the energy efficiency field in practice.

The adoption of energy efficient technologies, systems and services had been relatively slow and fostered by the Government throughout ad-hoc temporary policies and measures to tackle the most important energy crises. The 2012-2030 Philippine Energy Plan (PEP), for example, recognizes the need for an energy conservation law as a critical measure in managing the country's energy demand. The PEP also includes a previous National Energy Efficiency and Conservation Program (NEECP), launched in 2004, with the goal of 10% savings in the annual final energy demand forecast for the period 2010 to 2030.

These measures show the commitment of the Government of the Republic in establishing the requisite regulatory framework to improve industrial energy efficiency. To address barriers such as high prices for electricity and fuel oil prices, multilateral technical assistance was sought from the United Nations Industrial Development Organization (UNIDO) and the Global Environment Facility (GEF). The resulting *Industrial Energy Efficiency* project is executed in cooperation with the Philippines' Department of Energy (DOE) and the Bureau of Philippine Standards of the Department of Trade and Industry (DTI-BPS).

3. Project objective and expected outcomes

To address the set of problems previously highlighted, the Industrial Energy Efficiency project proposes to train Filipino national experts in both the optimization of steam, compressed air and pumping systems and in energy management while, at the same time, introducing these concepts to participating industrial enterprises that will directly benefit from project implementation.

Outputs include greenhouse gas emissions reductions from savings in the use of fuel and electricity attributable to systems improvements undertaken by the participating industrial enterprises. The project also aims at building capacity for industries in order to introduce the ISO 50001 international energy management standard. Compliance with this new ISO Standard is expected to provide an incentive for continuous attention to improved energy use efficiency while providing an organizational framework for industrial facilities to integrate energy efficiency into their management practices, thus improving the energy efficiency of industrial systems.

The project outcomes and outputs are:

1. Energy management

- Policy support
- Training materials and tools developed
- National awareness campaign on ISO50001 launched
- Peer-to-peer network developed
- Trained national experts/factory personnel on energy management
- ISO compliant energy management systems implemented

- Recognition program developed

2. Systems optimization

- Training materials and tools developed.
- Trained national experts/factory personnel on systems optimization.
- Vendors participation on system optimization training
- Documented systems optimization demonstration projects.

3. Financial capacity development to support energy efficiency projects in industry

- Harmonized energy efficiency project evaluation criteria.
- Training materials developed.
- Managers trained on financial aspects of energy efficiency projects.
- Support for packaging of loans for industrial energy efficiency projects

4. Project implementation arrangements

The project established a Steering Committee (SC) with representation of key stakeholders in the project specifically and more generally with expert knowledge on energy efficiency activities in the Philippines. The Committee meets at least once per year to review and evaluate progress and provides broad policy guidelines for implementation of the three project components.

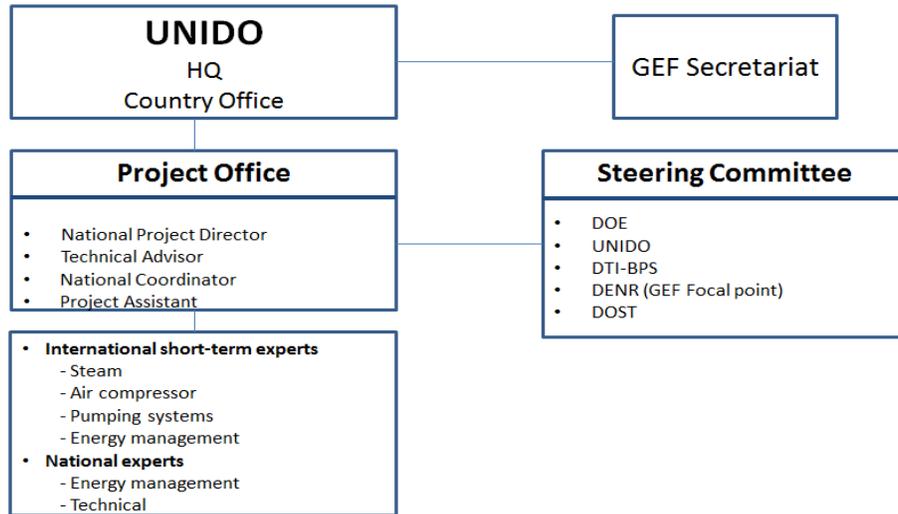
DOE, DTI-BPS and UNIDO establish a Project Management Unit (PMU) to be responsible for overall day-to-day project operations and financial management and reporting for both the GEF and government including staffing, planning and implementation of the in-country activities, particularly organization of the training programs.

UNIDO provides the necessary technical inputs to inform the work of the PMU. Its work will be under the overall supervision of the National Project Director – a senior DOE officer tasked with ensuring that project activities are consistent with promulgated government energy policy.

Day to day management of the project office has been undertaken by the National Project Coordinator (NPC) financed from GEF funds. National experts have been seconded to work with DOE in implementing the Project Office work program. UNIDO, supported by international experts, also plays a significant role in providing technical guidance to project implementation including recruitment of international experts.

The training responsibilities will be progressively transitioned to national experts that have completed the in-depth training on energy management and systems optimization. UNIDO headquarters and country office undertake GEF oversight and submit reports to GEFSEC as required.

The project management structure as designed is provided below:



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

A MTR of the project was carried out in mid-2015 and the field mission to the Philippines project sites took place in March 2015. Among the main findings:

Design and relevance: The overall project design is relevant to the national energy priorities, and has enjoyed strong participation of local stakeholders in project identification. The project is relevant to UNIDO policies and fully relevant to the GEF focal area of climate change. (*Highly Relevant and Highly Satisfactory*)

Effectiveness: current achievements compared to the targets show highly satisfactory progress in Component 1 and satisfactory in Component 2. Component 3 had not started yet by the time of the MTR. Effectiveness is assessed as *Satisfactory*.

Efficiency: Despite some initial delays in project implementation and the need to extend the project, many management tasks had been satisfactorily carried out by UNIDO and the PMU by the time of the MTR. Among the most positive aspects highlighted, there had been a very good cooperation between the various project partners. *Satisfactory*

Likelihood of sustainability and risks; external factors: no major financial, socio-political or institutional and governance risks to sustainability identified. Also, technical risks associated with the optimization of compressed air and steam systems are very low. The likelihood to sustainability is assessed as *Likely*.

6. Budget information

Table 1. Financing plan summary

\$	<i>Project Preparation</i>	<i>Project</i>	<i>Total (\$)</i>
Financing (GEF / others)	85,650	3,166,065	3,251,715
Co-financing (Cash and In-kind)	125,600	24,000,000	24,125,600
Total (\$)	211,250	27,166,065	27,377,315

Source: Project document / progress report

Table 2. Financing plan summary - Outcome breakdown²

Project component (outcomes)	Donor (GEF/other) (\$)	Co-Financing (\$)	Total (\$)
Energy Management	1,078,065	4,600,000	5,678,065
Systems Optimization	1,163,500	18,200,000	19,363,500
Enhancement of financing capacity	503,500	475,000	978,500
Project Management	316,000	705,000	1,021,000
Monitoring and Evaluation	105,000	20,000	125,000
Total (\$)	3,166,065	24,000,000	27,166,065

Source: Project document / progress report

Table 3. Co-Financing source breakdown

Name of Co-financier (source)	In-kind	Loan	Total Amount (\$)
Department of Energy <i>(National Government)</i>	4,000,000		4,000,000
Land Bank <i>(Government-owned bank)</i>		10,000,000	10,000,000
Bank of Philippine Islands <i>(Private bank)</i>		10,000,000	10,000,000
Total Co-financing (\$)	4,000,000	20,000,000	24,000,000

Source : Project document

² Source: Project document.

Table 4. UNIDO budget execution, USD \$ (Grants n. 4000213, 4000363, 200000288)

Items of expenditure	2012	2013	2014	2015	2016	2017	2018	Total expend.	% / total
Contractual Services		2,457	62,681	46,190	166,352	63,623	3,074	344,377	11,5 %
Equipment	263,859	3,066	50	11,510	5,797			284,282	9,5%
International Meetings						4,311		4,311	0,1%
Local travel	26,036	35,055	8,579	42,548	21,204	8,205		141,627	4,7%
Staff travel	9,648	2,822		17,495	8,966	6,403		32,864	1,1%
Nat. Consult./Staff	81,523	89,202	51,241	67,939	56,404	60,440	46,592	453,341	15,1%
Other Direct Costs	19,266	23,769	5,161	11,047	17,006	10,784	4,075	91,108	3%
Staff & Intern Consultants	83,461	306,422	336,847	413,964	218,118	111,502	66,314	1,536,628	51,4%
Train/Fellowship/Study	47,949	51,306	6,593	12		-5,538		100,322	3,3%
Premises		40	27	117	29			213	0,01%
Grand Total (USD \$)	533,754	516,152	399,869	612,837	495,892	261,747	122,073	2,989,073	100%

Source: UNIDO Project Management database as of 15/09/2018

II. Scope and purpose of the evaluation

The purpose of the evaluation is to independently assess the project to help UNIDO improve performance and results of ongoing and future programmes and projects. The terminal evaluation (TE) will cover the whole duration of the project from its starting date in 4/16/2011 to the estimated completion date in 12/31/2018.

The evaluation has two specific objectives:

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

III. Evaluation approach and methodology

The TE will be conducted in accordance with the UNIDO Evaluation Policy³ and the UNIDO Guidelines for the Technical Cooperation Project and Project Cycle⁴. In addition, the GEF Guidelines for GEF Agencies in Conducting Terminal Evaluations, the GEF Monitoring and Evaluation Policy and the GEF Minimum Fiduciary Standards for GEF Implementing and Executing Agencies will be applied.

The evaluation will be carried out as an independent in-depth evaluation using a participatory approach whereby all key parties associated with the project will be informed and consulted throughout the

³ UNIDO. (2015). Director General's Bulletin: Evaluation Policy (UNIDO/DGB/(M).98/Rev.1)

⁴ UNIDO. (2006). Director-General's Administrative Instruction No. 17/Rev.1: Guidelines for the Technical Cooperation Programme and Project Cycle (DGAI.17/Rev.1, 24 August 2006)

evaluation. The evaluation team leader will liaise with the UNIDO Independent Evaluation Division (ODG/EIO/IED) on the conduct of the evaluation and methodological issues.

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

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

1. Data collection methods

Following are the main instruments for data collection:

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

2. Evaluation key questions and criteria

The key evaluation questions are the following:

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

Table 5. Project evaluation criteria

#	Evaluation criteria	Mandatory rating
A	Impact	Yes
B	Project design	Yes
1	• Overall design	Yes
2	• Logframe	Yes

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

Performance of partners

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

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

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

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

- Need for follow-up:** e.g. in instances financial mismanagement, unintended negative impacts or risks.
- Materialization of co-financing:** e.g. the extent to which the expected co-financing materialized, whether co-financing was administered by the project management or by some other organization; whether and how shortfall or excess in co-financing affected project results.
- Environmental and Social Safeguards⁵:** appropriate environmental and social safeguards were addressed in the project's design and implementation, e.g. preventive or mitigation measures for any foreseeable adverse effects and/or harm to environment or to any stakeholder.

⁵ Refer to GEF/C.41/10/Rev.1 available at: http://www.thegef.org/sites/default/files/council-meetingdocuments/C.41.10.Rev_1.Policy_on_Environmental_and_Social_Safeguards.Final%20of%20Nov%2018.pdf

3. Rating system

In line with the practice adopted by many development agencies, the UNIDO Independent Evaluation Division uses a six-point rating system, where 6 is the highest score (highly satisfactory) and 1 is the lowest (highly unsatisfactory) as per **Error! Reference source not found.**

Table 6. Project rating criteria

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

IV. Evaluation process

The evaluation is expected to be conducted from October to December 2018. The evaluation will be implemented in five phases which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

- i. Inception phase: The evaluation team will prepare the inception report providing details on the methodology for the evaluation and include an evaluation matrix with specific issues for the evaluation; the specific site visits will be determined during the inception phase, taking into consideration the findings and recommendations of the mid-term review.
- ii. Desk review and data analysis;
- iii. Interviews, survey and literature review;
- iv. Country visits;
- v. Data analysis and report writing.

V. Time schedule and deliverables

The evaluation is scheduled to take place from October to December 2018. The evaluation field mission is tentatively planned for November 2018. At the end of the field mission, there will be a presentation of the preliminary findings for all stakeholders involved in this project in the Republic of the Philippines. The tentative timelines are provided in **Error! Reference source not found.**

After the evaluation field mission, the evaluation team leader will visit UNIDO HQ for debriefing and presentation of the preliminary findings of the terminal evaluation. The draft TE report will be submitted

4 to 6 weeks after the end of the mission. The draft TE report is to be shared with the UNIDO PM, UNIDO Independent Evaluation Division, the UNIDO GEF Coordinator and GEF OFP and other stakeholders for receipt of comments. The ET leader is expected to revise the draft TE report based on the comments received, edit the language and form and submit the final version of the TE report in accordance with UNIDO ODG/EIO/EID standards.

Table 7. Tentative timelines

Timelines	Tasks
March 2019	Desk review and writing of inception report
End of March 2019	Briefing with UNIDO project manager and the project team based in Vienna through Skype
April 2019	Field visit to the Republic of the Philippines
End of April 2019	Debriefing in Vienna Preparation of first draft evaluation report
May 2019	Internal peer review of the report by UNIDO’s Independent Evaluation Division and other stakeholder comments to draft evaluation report
End of May 2019	Final evaluation report

VI. Evaluation team composition

The evaluation team will be composed of one international evaluation consultant acting as the team leader and one national evaluation consultant. The evaluation team members will possess relevant strong experience and skills on evaluation management and conduct together with expertise and experience in innovative clean energy technologies. Both consultants will be contracted by UNIDO.

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

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

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

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

VII. Reporting

Inception report

This Terms of Reference (ToR) provides some information on the evaluation methodology, but this should not be regarded as exhaustive. After reviewing the project documentation and initial interviews with the project manager, the Team Leader will prepare, in collaboration with the national consultant, a short inception report that will operationalize the ToR relating to the evaluation questions and provide

information on what type of and how the evidence will be collected (methodology). It will be discussed with and approved by the responsible UNIDO Evaluation Manager.

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

Evaluation report format and review procedures

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

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

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

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

VIII. Quality assurance

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

The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality, attached as Annex 5. The applied evaluation quality assessment criteria are used as a tool to provide structured feedback. UNIDO Independent Evaluation Division should ensure that the evaluation report is useful for UNIDO in terms of organizational learning

⁶ The evaluator will be provided with a Guide on how to prepare an evaluation inception report prepared by the UNIDO ODG/EVQ/IEV.

(recommendations and lessons learned) and is compliant with UNIDO's evaluation policy and these terms of reference. The draft and final evaluation report are reviewed by UNIDO Independent Evaluation Division, which will submit the final report to the GEF Evaluation Office and circulate it within UNIDO together with a management response sheet.

Annex 1: Project Logical Framework

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
Project Objective	Measurable energy savings and emissions reductions by industrial enterprises	Delay with introduction of standard. Adoption of standard by few large companies only. Emissions reductions from only least first cost projects undertaken by industry using in-house capital.	Energy savings of 1,143,149 GJ and 359,877 KWh and corresponding direct GHG emissions reductions of 261,754 tons of CO2 over project duration (To be determined based on the technical assessments of investment projects)	Terminal evaluation reports. Peer to peer network.	Willingness of industry to invest in energy efficiency in response to: Market-driven demand from customers. Energy costs continue high enough to stimulate continuous interest in energy efficiency improvement.
Component 1: Energy management					
Outcomes:					
1. Energy management standard promulgated nationally.					
2. Capacity of industry and industry support organizations developed to implement ISO compliant energy management systems.					
3. Increased adoption of energy management standards by industry					
Outputs:					
1.1 Policy support	<i>Policy paper</i>	Limited knowledge within DOE staff of the integration to energy management into energy efficiency agreements between governments and industry associations.	Policy paper focusing on energy management in the context of negotiated agreements and experience in developed economies and China.	Policy paper	
1.2 Training materials and tools on energy management developed	Availability of training materials on energy management.	Existing generic training materials as used by private sector EE service providers and similar energy audit training materials	Detailed and tested training materials to facilitate industries' conformance with an energy management standard (ISO 50001)	Experts' reports	N/a

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
1.3 National awareness campaign on ISO50001 launched	A national campaign to promote industrial energy management and ISO 50001	Continued DOE – sponsored information, education and communication campaign, but absence of an industry-focused cohesive effort to promote industrial energy efficiency.	Publicity materials, brochures.	Reports from government counterparts.	N/a
1.4 Peer- to – peer network developed	A peer-to-peer (information sharing) web-based network established to enable companies to share information on energy management	Existing (but under-funded) DOE data base.	Network in operation and in use to: Document energy savings by companies participating in the project and to identify companies worthy of recognition.	Project evaluation reports. Experts' reports.	Willingness of participating companies to share their experience with energy efficiency measures and projects implemented.
1.5 Trained national experts/factory personnel on energy management	Number of Filipino experts and factory personnel trained in energy management practice and procedures.	DOE energy management program and training for energy managers/auditors.	40 engineers trained specifically in energy management to a level such that they can train others. Personnel from 500 factories familiar with energy management of which 200 will be capable of implementing energy management plans	Project evaluation reports. Experts' reports.	Implementation risks. Successful completion of this output requires major planning and coordination effort by concerned government agencies and national experts or contractor.
1.6 ISO compliant energy management systems implemented	Number of factories implemented ISO compliant energy management systems and operational energy management projects	Limited uptake of energy management and conformance with ISO 50001.	200 factories complete operational improvement projects. National experts work with 40 factories to fully implement ISO 50001. 30 case studies.	Case studies. Project evaluation reports. Experts' reports.	Implementation risks. Successful completion of this output requires major planning and coordination effort by concerned government agencies and national experts or contractor. Insufficient external drivers to stimulate adequate uptake of standard.

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
1.7 Recognition program developed	Recognition program (award scheme) for participating factories based on successful achievements	Activities contributing to this output will strengthen the existing successful "Don Emilio Energy Efficiency Awards" given by DOE over the period 2006/9	Existing DOE award program strengthened	National workshop reports.	Willingness of participating companies to input data into the project's database.
Component 2: Energy Management					
Outcomes:					
1. Capacity of industry and industry support organizations developed to implement systems optimization.					
2. Increased adoption of system optimization energy efficiency projects by industry.					
Outputs:					
2.1 Training materials and tools developed.	Availability of technical training materials and tools on systems optimization for industries.	Continued use of generic IEE training materials, focusing on energy audits and sector-specific but generic technology replacement opportunities.	Training curricula and guidelines for steam, compressed air and pumping systems optimization		N/a
2.2 Trained national experts/factory personnel on systems optimization.	Number of trained national experts and factory personnel on systems optimization.	Systems approaches are understood by some Filipino energy experts.	40 Filipino engineers intensively trained on compressed air, pump, fan systems and steam system optimization. 400 factory personnel familiar with systems optimization of which 150 are familiar with the use of UNIDO's tools.	Experts' reports following completion of each system-based training module.	Implementation risks. Successful completion of this output requires major planning and coordination effort by concerned government agencies and national experts or contractor.

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
2.3 Vendors participation on system optimization training.	Number of equipment vendors participated on the training programs.	Continued exclusive focus by vendors on sale of individual equipment items. Least first cost continues as main driver for design of steam/motor systems.	40 Filipino equipment vendors (pumps, compressors motors etc..) knowledgeable about capture of systems level efficiency opportunities applicable to their products.	Experts' reports following completion of each system-based training module.	Continuous commitment of equipment vendors to participate in the project.
2.4 Documented systems optimization demonstration projects.	Documented energy efficiency (systems optimization) demonstration projects.	Some application of VSD and boiler tune-up options in selected sectors. See also section IIF(iv).	60 systems assessments completed, of which 40 lead to completed projects 25 case studies documenting energy savings.	Case studies and experts' reports.	Commitment of companies participating directly in the project.
Component 3: Enhancement of financing capacity					
Outcomes: Increased availability of financial capacity and support for industrial energy efficiency projects					
Outputs:					
3.1 Harmonized energy efficiency project evaluation criteria.	Evaluation criteria are harmonized within financial institutions to help them select better EE projects.	Ad-hoc IEE investment criteria as currently applied by banks.	Evaluation criteria for industrial energy efficiency project financing are developed and harmonized by financial institutions	Experts' reports. Increased rate of FI approval for IEE investment opportunities.	Currently the majority industries (surveyed by UNIDO) finance energy efficiency from their own resources.
3.2 Training materials developed.	Availability of training materials on financing energy efficiency projects	Subject to the deliverables generated by the current IFC project	IEE-specific training materials and guidelines available to both loan applicants and FI staff.	Reports. Availability of training materials.	N/a
3.3 Managers trained in the financial aspects of energy efficiency projects.	Number of managers trained.	Subject to the deliverables generated by the current IFC project	Financial managers with increased knowledge of : Risk Assessment Technical issues. Legal concerns. Pertaining to evaluation of IEE investments.	Experts' reports.	Implementation risks. Successful completion of this output requires major planning and coordination effort by concerned government agencies and national experts or contractor.

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
3.4 Support for packaging of loans for industrial energy efficiency projects	Number of persons trained on the support for packaging for industrial energy efficiency projects.	Financial institution specific packaging	Financial managers with improved understanding of IEE investment project appraisal.	Reports.	Implementation risks as above.

Annex 2: Detailed questions to assess evaluation criteria: See Annex 2 of the UNIDO Evaluation Manual

Annex 3: Job descriptions



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

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

Title:	International evaluation consultant, team leader
Main Duty Station and Location:	Home-based
Missions:	Missions to Vienna, Austria and to the Republic of the Philippines
Start of Contract (EOD):	March 2019
End of Contract (COB):	May 2019
Number of Working Days:	38 working days spread over the above mentioned period

1. ORGANIZATIONAL CONTEXT

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

2. PROJECT CONTEXT

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

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
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MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
<p>1. Review project documentation and relevant country background information (national policies and strategies, UN strategies and general economic data).</p> <p>Define technical issues and questions to be addressed by the national technical evaluator prior to the field visit.</p> <p>Determine key data to collect in the field and adjust the key data collection instrument if needed.</p> <p>In coordination with the project manager, the project management team and the national technical evaluator, determine the suitable sites to be visited and stakeholders to be interviewed.</p>	<ul style="list-style-type: none"> • Adjusted table of evaluation questions, depending on country specific context; • Draft list of stakeholders to interview during the field missions. • Identify issues and questions to be addressed by the local technical expert 	6 days	Home-based
<p>2. Prepare an inception report which streamlines the specific questions to address the key issues in the TOR, specific methods that will be used and data to collect in the field visits, confirm the evaluation methodology, draft theory of change, and tentative agenda for field work.</p> <p>Provide guidance to the national evaluator to prepare initial draft of output analysis and review technical inputs prepared by national evaluator, prior to field mission.</p>	<ul style="list-style-type: none"> • Draft theory of change and Evaluation framework to submit to the Evaluation Manager for clearance. • Guidance to the national evaluator to prepare output analysis and technical reports 	5 days	Home based
<p>3. Briefing with the UNIDO Independent Evaluation Division, project managers and other key stakeholders at UNIDO HQ (included is preparation of presentation).</p>	<ul style="list-style-type: none"> • Detailed evaluation schedule with tentative mission agenda (incl. list of stakeholders to interview and site visits); mission planning; • Division of evaluation tasks with the National Consultant. 	2 day	Through skype

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
4. Conduct field mission to the Republic of the Philippines in 2018 ⁷ .	<ul style="list-style-type: none"> • Conduct meetings with relevant project stakeholders, beneficiaries, the GEF Operational Focal Point (OFP), etc. for the collection of data and clarifications; • Agreement with the National Consultant on the structure and content of the evaluation report and the distribution of writing tasks; • Evaluation presentation of the evaluation’s preliminary findings, conclusions and recommendations to stakeholders in the country, including the GEF OFP, at the end of the mission. 	10 working days (excluding travel)	Republic of the Philippines (specific project site to be identified at inception phase)
5. Present overall findings and recommendations to the stakeholders at UNIDO HQ	<ul style="list-style-type: none"> • After field mission(s): Presentation slides, feedback from stakeholders obtained and discussed. 	2 day	Vienna, Austria
6. Prepare the evaluation report, with inputs from the National Consultant, according to the TOR; Coordinate the inputs from the National Consultant and combine with her/his own inputs into the draft evaluation report. Share the evaluation report with UNIDO HQ and national stakeholders for feedback and comments.	<ul style="list-style-type: none"> • Draft evaluation report. 	10 day	Home-based
7. Revise the draft project evaluation report based on comments from UNIDO Independent Evaluation Division and stakeholders and edit the language and form of the final version according to UNIDO standards.	<ul style="list-style-type: none"> • Final evaluation report. 	3 day	Home-based

⁷ The exact mission dates will be decided in agreement with the Consultant, UNIDO HQ, and the country counterparts.

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
	TOTAL	38 days	

REQUIRED COMPETENCIES

Core values:

1. Integrity
2. Professionalism
3. Respect for diversity

Managerial competencies (as applicable):

1. Strategy and direction
2. Managing people and performance
3. Judgement and decision making
4. Conflict resolution

Core competencies:

1. Results orientation and accountability
2. Planning and organizing
3. Communication and trust
4. Team orientation
5. Client orientation
6. Organizational development and innovation

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education:

Advanced degree in environment, energy, engineering, development studies or related areas.

Technical and functional experience:

- Minimum of 15 years’ experience in evaluation of development projects and programmes
- Good working knowledge of industrial energy efficiency
- Knowledge about GEF operational programs and strategies and about relevant GEF policies such as those on project life cycle, M&E, incremental costs, and fiduciary standards
- Experience in the evaluation of GEF projects and knowledge of UNIDO activities an asset
- Knowledge about multilateral technical cooperation and the UN, international development priorities and frameworks
- Working experience in developing countries will be an asset.

Languages:

Fluency in written and spoken English is required.

All reports and related documents must be in English and presented in electronic format.

Absence of conflict of interest:

According to UNIDO rules, the consultant must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project (or theme) under evaluation. The consultant will be requested to sign a declaration that none of the above situations exists and

that the consultants will not seek assignments with the manager/s in charge of the project before the completion of her/his contract with the UNIDO Independent Evaluation Division.



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

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

Title:	National evaluation consultant
Main Duty Station and Location:	Home-based
Mission/s to:	Travel to potential sites within the Republic of the Philippines
Start of Contract:	March 2019
End of Contract:	May 2019
Number of Working Days:	25 days spread over the above mentioned period

ORGANIZATIONAL CONTEXT

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

PROJECT CONTEXT

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

<u>MAIN DUTIES</u>	Concrete/measurable outputs to be achieved	Expected duration	Location
Desk review Review and analyze project documentation and relevant country background information; in cooperation with the team leader, determine key data to collect in the field and prepare key instruments in English	Evaluation questions, questionnaires/interview guide, logic models adjusted to ensure understanding in the national context; A stakeholder mapping, in coordination with the project	3 days	Home-based

<u>MAIN DUTIES</u>	Concrete/measurable outputs to be achieved	Expected duration	Location
(questionnaires, logic models). If need be, recommend adjustments to the evaluation framework and Theory of Change in order to ensure their understanding in the local context.	team.		
Carry out preliminary analysis of pertaining technical issues determined with the Team Leader. In close coordination with the project staff team verify the extent of achievement of project outputs prior to field visits. Develop a brief analysis of key contextual conditions relevant to the project.	<ul style="list-style-type: none"> • Report addressing technical issues and question previously identified with the Team leader • Tables that present extent of achievement of project outputs • Brief analysis of conditions relevant to the project 	5 days	Home-based
Coordinate the evaluation mission agenda, ensuring and setting up the required meetings with project partners and government counterparts, and organize and lead site visits, in close cooperation with project staff in the field.	<ul style="list-style-type: none"> • Detailed evaluation schedule. • List of stakeholders to interview during the field missions. 	2 days	Home-based
Coordinate and conduct the field mission with the team leader in cooperation with the Project Management Unit, where required. Consult with the Team Leader on the structure and content of the evaluation report and the distribution of writing tasks. Conduct the translation for the Team Leader, when needed.	<ul style="list-style-type: none"> • Presentations of the evaluation's initial findings, draft conclusions and recommendations to stakeholders in the country at the end of the mission. • Agreement with the Team Leader on the structure and content of the evaluation report and the distribution of writing tasks. 	10 days (excluding travel days)	Republic of the Philippines
Follow up with stakeholders regarding additional information promised during interviews. Prepare inputs to help fill in information and analysis gaps (mostly related to technical issues) and to prepare of tables to be included in the evaluation report as agreed with the Team Leader. Revise the draft project evaluation report	<ul style="list-style-type: none"> • Part of draft evaluation report prepared. 	5 days	Home-based

<u>MAIN DUTIES</u>	Concrete/measurable outputs to be achieved	Expected duration	Location
based on comments from UNIDO Independent Evaluation Division and stakeholders and proof read the final version.			
TOTAL		25 days	

REQUIRED COMPETENCIES

Core values:

1. Integrity
2. Professionalism
3. Respect for diversity

Core competencies:

1. Results orientation and accountability
2. Planning and organizing
3. Communication and trust
4. Team orientation
5. Client orientation
6. Organizational development and innovation

Managerial competencies (as applicable):

1. Strategy and direction
2. Managing people and performance
3. Judgement and decision making
4. Conflict resolution

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education: Advanced university degree in environmental science, engineering or other relevant discipline like developmental studies with a specialization in industrial energy efficiency.

Technical and functional experience:

- Good working knowledge of industrial energy efficiency
- Evaluation experience, including evaluation of development cooperation in developing countries is an asset
- Exposure to the needs, conditions and problems in developing countries.
- Familiarity with the institutional context of the project is desirable.

Languages: Fluency in written and spoken English and Filipino is required.

Absence of conflict of interest:

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

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

Executive summary (maximum 5 pages)

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

1. Introduction

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

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

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

3. Project's quality and performance

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

4. Performance of Partners

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

5. Factors facilitating or limiting the achievement of results

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

6. Conclusions, recommendations and lessons learned

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

Annexes (to be put online separately later)

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

Annex 5: Checklist on evaluation report quality

Project Title:

UNIDO ID:

Evaluation team:

Quality review done by:

Date:

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

Rating system for quality of evaluation reports

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

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

A. Introduction

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

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

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

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

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

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

B. Gender responsive evaluation questions

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

B.1. Design

- Is the project/project in line with the UNIDO and national policies on gender equality and the empowerment of women?
- Were gender issues identified at the design stage?
- Did the project/project design adequately consider the gender dimensions in its interventions? If so, how?
- Were adequate resources (e.g., funds, staff time, methodology, experts) allocated to address gender concerns?
- To what extent were the needs and priorities of women, girls, boys and men reflected in the design?
- Was a gender analysis included in a baseline study or needs assessment (if any)?

- If the project/project is people-centered, were target beneficiaries clearly identified and disaggregated by sex, age, race, ethnicity and socio-economic group?
- If the project/project promotes gender equality and/or women's empowerment, was gender equality reflected in its objective/s? To what extent are output/outcome indicators gender disaggregated?

B.2. Implementation management

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

B.3. Results

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