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UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

Terms of Reference

Terminal Evaluation of UNIDO Project:

**Upgrading the Medicinal and Aromatic Value Chain – Access to Export
Markets - EMAP**

UNIDO Project Number: US/EGY/10/005

June 2015

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“Upgrading the Medicinal and Aromatic Value Chain – Access to Export Markets”

Project Country	: Egypt
Donor	: Swiss Secretariat of Economics Affairs (SECO)
Executing Agency	: The United Nations Industrial Development Organization (UNIDO)
Counterparts/ Partners	: The Egyptian Ministry of Industry and Foreign Trade / Industry Council for Technology and Innovation, Agriculture and Agro-Industries Technology Centre (ATC)

I. EVALUATION BACKGROUND

Medicinal and Aromatic Plants Sector in Egypt

The Medicinal and Aromatic Plants (MAP) sector is one of the potential sectors in the Egyptian economy with regard to its exporting capabilities (85% of domestic production is directed to export markets), the comparative edge Egypt is enjoying (Egypt used to be ranked among the top 10 MAP exporters, FAO 2010) and the growing worldwide demand on MAP products for industrial and nutrition purposes. Despite this fact, the Egyptian MAP sector has been suffering a group of bottlenecks which are hindering its competitiveness advantage to show. These bottlenecks include: mixed / low yield seeds, propagation material, low selling prices, poor drying techniques, poor traceability, poor access to global buyers, low level of value addition and individualistic business practice.

Project description

In response to this and believing in the potentiality of Egyptian MAP products, EMAP project was designed with the aim of upgrading the MAP value chain and improving its position in export markets. In achieving this goal, EMAP provides an integrated approach that helps all supply chain members, such as producers, processors and traders, to comply with technical regulations, codes of good practices and conformity standards required by destination markets. In addition, EMAP focuses on the market front by supporting access of target groups to foreign markets and facilitating business interaction between national and international relevant bodies. In this context, EMAP is designed to ensure the achievement of the following two main outcomes and results:

Outcome 1: Upgraded supply chain for the project beneficiaries in terms of linkages, productivity, quality and compliance to TBT/SPS requirements, through which:

- Egyptian MAP Quality Mark (National Quality Certification Scheme) will be designed following international best practices
- MAP service centres will be established to provide sustainable advisory services to supply chain members
- Compliance capacity of (10) final processors /exporters is to be enhanced in terms of productivity, quality, food safety, traceability and environment
- Capacity of major pre-processors/local traders (20 SMEs) is to be upgraded in terms of GACP/GMP/GHP, production and handling techniques (post-farm gate)
- Capabilities of growers in up to 35,000 acres (50% of MAP production area) is to be upgraded in terms of production, handling and food safety practices and responsiveness to demanded varieties (pre-farm gate)

Outcome 2: MAP products of the target exporters have an improved position in export markets

- Enterprises capacities is to be strengthened in terms of product development and value addition

- Export/origin consortium is to be established
- Quality mark for MAP products is to be recognized at export markets and effective market access program is to be in place.

Budget Information

Project Total	USD 2,539,823
Support Cost (13%)	USD 330,177
Grand Total	USD 2,870,000
Counterpart Contribution (in kind)	USD 1,130,000

II. EVALUATION PURPOSE

The purpose of the evaluation is to assess the:

1. Project relevance with regard to priorities and policies of the Government of Egypt, and UNIDO;
2. Project effectiveness in terms of the outputs produced and outcomes achieved as compared to those planned;
3. Efficiency of implementation: quantity, quality, cost and timeliness of UNIDO and counterpart inputs and activities;
4. Prospects for development impact; and
5. Long-term sustainability of the support mechanisms results and benefits.

The evaluation should provide the necessary analytical basis and make recommendations to the Government of Egypt, the donor and UNIDO.

The evaluation should also draw lessons of wider applicability for replication of the experience gained in the project in other interventions.

Key question of the final evaluation is to what extent the project has achieved the expected results, i.e. to what extent has the project improved functionality of the supply chain in terms of linkages, productivity, quality and compliance with international standards as well as access to international markets in order to reflect on accessibility to new markets and hence fostered business to target groups..

III. SCOPE AND METHODOLOGY OF THE EVALUATION

The evaluation will be carried out in accordance to agreed evaluation standards and requirements. More specifically, it will fully respect the principles laid down in the “UN Norms and Standards for Evaluation” and Evaluation Policies of UNIDO.¹

The evaluation shall determine as systematically and objectively as possible the relevance, efficiency, effectiveness, achievements (outputs, prospects for achieving expected outcomes and impact) and sustainability of the project. To this end, the evaluation will assess the achievements of the project against its key objectives, as set out in the project document and the inception report, including a review of the relevance of the objectives and of the design. It will also identify factors that have facilitated or impeded the achievement of planned objectives.

¹ All documents are available on the website of UN Evaluation Group: <http://www.uneval.org/>

While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all relevant and involved parties.

IV. EVALUATION QUESTIONS

This terminal evaluation will address the following issues:

Project identification and formulation

- The extent to which a participatory project identification process was applied in selecting problem areas and counterparts requiring technical cooperation support;
- Relevance of the project to development priorities and needs;
- Clarity and realism of the project's development and immediate objectives, including specification of targets and identification of beneficiaries and prospects for sustainability.
- Clarity and logical consistency between inputs, activities, outputs and progress towards achievement of objectives (quality, quantity and time-frame);
- Realism and clarity in the specification of prior obligations and prerequisites (assumptions and risks);
- Realism and clarity of external institutional relationships, and in the managerial and institutional framework for implementation and the work plan; and
- Likely cost-effectiveness of the project design.

Project ownership

- The extent to which the project was formulated with the participation of national counterpart and/or target beneficiaries;
- The extent to which counterparts have been appropriately involved and have been participating in the identification of their critical problem areas, in the development of technical cooperation strategies and in the implementation of the project approach;
- The extent to which counterpart contributions and other inputs have been received from the Government as compared to the project document work plan, and the extent to which the project's follow-up is integrated into Government budgets and work plans;
- The extent to which identified counterparts (government and private sector) have supported the project into carrying out the planned activities; and
- The extent to which ownership of project's results / contributions has been transferred to relevant national counterparts for future sustainability.

Project coordination and management

- The extent to which the national management and overall field coordination mechanisms of the project have been efficient and effective;
- The extent to which the UNIDO based management, coordination, quality control and input delivery mechanisms have been efficient and effective;

- The extent to which monitoring and self-evaluation have been carried out effectively, based on indicators for outputs, outcomes and objectives and using that information for project steering and adaptive management;
- The extent to which changes in planning documents during implementation have been approved and documented;
- The extent to which the steering committee had provided the required support and anticipated follow up on the project's implementation and achievements; and
- The extent to which synergy benefits can be found in relation to other UNIDO and UN activities in the country.

Efficiency of Implementation

Efficiency and adequacy of project implementation including:

- Availability of funds as compared to the provisional budget (donor and national contribution);
- The quality and timeliness of inputs delivered by UNIDO (expertise, training, equipment, methodologies, etc.) and the Government as compared to the work plan(s);
- To what extent were the recommendations of mid-term evaluation (Feb 2013) of this project implemented;
- Managerial and work efficiency;
- Implementation challenges and difficulties;
- Adequacy of monitoring and reporting;
- The extent of national support and commitment and the quality and quantity of administrative and technical support by UNIDO and the Government.

Effectiveness and Project Results

- Full and systematic assessment of outputs produced to date (quantity and quality as compared with work plan and progress towards achieving the immediate objectives);
- Quality of outputs produced and how target beneficiaries use these outputs, with particular attention possibility of replication; and
- Outcomes, which have occurred or which are likely to happen through utilization of outputs.

Prospects to achieve expected outcomes, impact and sustainability

Prospects to achieve expected outcomes and impact and prospects for sustaining the project's results by beneficiaries and host institutions after termination of the project, and identification of developmental changes (economic, environmental, social) that are likely to occur as a result of the intervention, and how far they are sustainable.

Cost-effectiveness of the Project

Assess whether the project's approach represented the best use of given resources for achieving the planned objectives.

Recommendations for a possible next project phase, or replication elsewhere

Based on the above analysis the evaluator will draw specific conclusions and make proposals for any necessary further action by the Government of Egypt and/or UNIDO and/or the UN or other donors to ensure sustainable development in the medicinal plants sector or related activities, including any need for additional assistance and activities of the project prior to its completion.

The mission will draw attention to any lessons of general interest. Any proposal for further assistance should include precise specification of objectives and the major suggested outputs and inputs.

Specific evaluation questions for Outcome (1): Upgrading the value chain of MAP sector in Egypt

- Was the national quality scheme established and launched?
- Had the ownership of the national quality scheme been effectively transferred to national / sustainable stakeholders?
- Were the service centers established and fully functional?
- How would the role / function of service centers be sustained after project lifetime?
- To what extent had the role of national counterparts (government of Egypt, private sector, etc.) supported the implementation of the project's outputs?
- To what extent had the technical capacity of the field staff developed over the lifetime?
- To what extent had the capacity of targeted exporters, pre-processors / traders and growers/cultivated areas been upgraded under the project?
- To what extent had the newly introduced varieties supported better linkages and / or income generation over the supply chain?

Specific evaluation questions for Outcome (2): market access

- How many value addition initiatives were undertaken and to what extent were they utilized by beneficiaries;
- To what extent was the concept of export consortia accepted and effectively deployed in the sector;
- To what extent had the role of national counterparts (government of Egypt, private sector, etc.) supported the implementation of the project's outputs;
- To what extent had target groups benefited from the undertaken business development activities including tradeshows and matchmaking events;
- To what extent had collaboration with the international trade promotion bodies supported better doing business for target groups;
- How could the collaboration with the identified international institutions be sustained in future; and
- How would the market access initiatives taken by the project be sustained after the project lifetime.

Procurement issues

The following evaluation questions that will feed in the Thematic Evaluation on Procurement have been developed and would be included as applicable in all projects (for reference, please see Annex 5 of the ToR: UNIDO Procurement Process):

- To what extent does the process provide adequate treatment to different types of procurement (e.g. by value, by category, by exception...)
- Was the procurement timely? How long does the procurement process take (e.g. by value, by category, by exception...)
- Did the procured product / item(s) arrive as planned or scheduled? If no, how long were the times gained or delays. If delay, what was the reason(s)?
- Were the procured product(s) acquired at a reasonable price?
- To what extent were the procured product(s) of the expected/needed quality and quantity?
- What were the main bottlenecks / issues in the procurement process?
- What good practices have been identified?
- To what extent roles and responsibilities of the different stakeholders in the different procurement stages are established, adequate and clear?
- To what extent there is an adequate segregation of duties across the procurement process and between the different roles and stakeholders?

V. EVALUATION TEAM

The evaluation team will include:

1. One Senior International Evaluation Consultant with extensive experience in conducting evaluations to design, supervise, guide the evaluation and formulate the evaluation report and related documents;
2. One National Evaluation Consultant with extensive experience in conducting evaluations to conduct field surveys and assessments, assist the Senior International Evaluation Consultant in field activities as well as preparation of the final report.

The evaluation team must have the necessary technical competence and experience to assess the quality of technical assistance provided to project counterparts/beneficiaries.

The Senior International Evaluation Consultant will be responsible for elaboration of an evaluation strategy, including the design of field surveys and elaboration of questionnaires; guiding the national evaluator for his/her field work; analysis of survey results; gathering of complementary information from project staff, collaborators and stakeholders through the relevant means; and preparing PowerPoint presentation of conclusions and recommendations as well as a final evaluation report.

The National Evaluation Consultant will be responsible for carrying out the field surveys (under the guidance of the Senior International Evaluation Consultant). The field surveys will provide foundation for the evaluation and must therefore be executed in line with the highest standards of professionalism and impartiality. She/He will also provide the required translation during field interviews.

All consultants will be contracted by UNIDO. The tasks of the consultants are specified in their respective job descriptions, attached to this ToR as Annex 2.

The functions, competencies and skills as described in the respective Job Descriptions may be distributed among several persons in the evaluation team. Team members may be located in different countries but an effective coordination mechanism will have to be demonstrated. Evaluation team members must be independent and not have been involved in the formulation or, implementation of the project.

The UNIDO Office for Independent Evaluation will be responsible for the quality control of the evaluation process and report. They will provide inputs regarding findings, lessons learned and recommendations from other evaluations, ensuring that the evaluation report is in compliance with established evaluation norms and standards and useful for organizational learning of all parties.

The project office in Cairo will logistically and administratively support the evaluation team to the extent possible. However, it should be understood that the evaluation team is responsible for its own arrangements for transport, lodging, security etc.

VI. EVALUATION SCHEDULE AND MAIN TASKS

The final evaluation is scheduled to take place in October 2015, including field visit to Cairo. At the end of the field mission, there will be a presentation of preliminary findings by the international and / or national evaluation consultant to stakeholders involved in this project in Egypt.

After the field mission, the evaluation team leader will come to UNIDO HQ for debriefing and a presentation of the preliminary findings for all stakeholders involved in this project.

The draft final evaluation report will be submitted one week after the end of the mission. After quality review of the draft evaluation report by UNIDO Office for Independent Evaluation and the Project Manager, the evaluation team should deliver the final evaluation report.

VII. CONSULTATIONS AND LIAISON

A proposed list of Government officials, private sector representatives and other relevant individuals will be provided by the Project Manager to the evaluation team.

The evaluation team will maintain close liaison with the representatives of UNIDO, other UN agencies as well as with the concerned national agencies and with national and international project staff. The evaluation team is free to discuss with the authorities concerned anything relevant to its assignment. However, it is not authorized to make any commitments on behalf of the Government, the donor or UNIDO.

VII. LANGUAGE REQUIREMENTS

Local interviews and surveys can be conducted in Arabic or English in presence of national independent translator. Telephone interviews may be conducted in English (by the Senior International Evaluation Consultant). All data and interview reports must be translated into English. Performing a linguistic quality control of all interview reports is part of the scope of contract. The evaluation report must be delivered in English. An executive summary of the final evaluation report will be produced in Arabic.

IX. DELIVERABLES AND REPORTING

The main documents to be delivered by the evaluation team are:

1. Inception report
2. Draft evaluation report (English)
3. Final evaluation report (English)
4. PowerPoint presentation debriefing on the process, findings, and recommendations (English)

The reporting language will be English. The executive summary, recommendations and lessons learned shall be an important part of the presentations to be prepared for debriefing sessions in Cairo and Vienna.

Draft reports submitted to UNIDO Office for Independent Evaluation are shared with the corresponding Project Managers and National Project Director for initial review and consultation. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. The evaluators will take the comments into consideration in preparing the final version of the report.

The evaluation will be subject to quality assessments by UNIDO Office for Independent Evaluation. These apply evaluation quality assessment criteria and are used as a tool for providing structured feedback. The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality (see Annex 4).

Annex 1: Table of contents for the evaluation report

Template of in-depth evaluation reports

I. Executive summary

- Must be self-explanatory
- Not more than five pages focusing on the most important findings and recommendations
- Overview showing strengths and weaknesses of the project

II. Introduction

- Information on the evaluation: why, when, by whom, etc.
- Information sources and availability of information
- Methodological remarks and validity of the findings
- Project summary (“fact sheet”, including project structure, objectives, donors, counterparts, timing, cost, etc)

III. Country and project context

This chapter provides evidence for the assessment under chapter IV (in particular relevance and sustainability):

- Brief description including history and previous cooperation
- Project specific framework conditions; situation of the country; major changes over project duration
- Positioning of the project (other initiatives of government, other donors, private sector, etc.)
- Counterpart organization(s); (changes in the) situation of the relevant institutions and counterparts in terms of mandate, scope of cooperation, etc.

IV. Project Planning

This chapter describes the planning process as far as relevant to the assessment under chapter IV:

- Project identification (stakeholder involvement, needs of target groups analysed, depth of analysis, etc.)
- Project formulation (stakeholder involvement, quality of project document, coherence of intervention logic, etc.)
- Description of the underlying intervention theory (causal chain: inputs-activities-outputs-outcomes)
- Funds mobilization

V. Project Implementation

This chapter describes what has been done and provides evidence for the assessment under chapter IV:

- Financial implementation (overview of expenditures, changes in approach reflected by budget revisions, etc.)
- Management (in particular monitoring, self assessment, adaptation to changed circumstances, etc.)
- Outputs (inputs used and activities carried out to produce project outputs)
- Outcome, impact (what changes at the level of target groups could be observed, refer to outcome indicators in project document if any)
- Types of collaboration that took place with different counterparts and stakeholders

VI. Assessment

The assessment is based on the analysis carried out in chapter II, III and IV. It assesses the underlying intervention theory (causal chain: inputs-activities-outputs-outcomes). Did it prove to be plausible and realistic? Has it changed during implementation? This chapter includes the following aspects:

- Relevance (evolution of relevance over time: relevance to UNIDO, Government, counterparts, target groups)
- Ownership
- Efficiency (quality of management, quality of inputs, were outputs produced as planned?, were synergies with other initiatives sufficiently exploited? Did UNIDO draw on relevant in-house and external expertise? Was management results oriented? was the planning process flexible to accommodate country based changes?)
- Effectiveness and impact (assessment of outcomes and impact, reaching target groups)
- Sustainability
- If applicable: overview table showing performance by outcomes/outputs
- Procurement issues

VII. Issues with regard to a possible next phase

- Assessment, in the light of the evaluation, of proposals put forward for a possible next phase
- Recommendations on how to proceed under a possible next phase, overall focus, outputs, activities, budgets, etc.
- Recommendations on how to capitalize on the achieved result and possibility of replication for broader benefit / impact

VIII. Recommendations

- Recommendations must be based on evaluation findings
- The implementation of the recommendations must be verifiable (indicate means of verification)
- Recommendations must be actionable; addressed to a specific officer, group or entity who can act on it; have a proposed timeline for implementation
- Recommendations should be structured by addressees:
 - UNIDO
 - Government and/or Counterpart Organizations
 - Donor

IX. Lessons learned

- Lessons learned must be of wider applicability beyond the evaluated project but must be based on findings and conclusions of the evaluation

Annex 2: ToRs - Job Descriptions



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

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

Independent Evaluation of the UNIDO Projects

“Upgrading the Medicinal and Aromatic Value Chain – Access to Export Markets”
Project No: US/EGY/10/005

Title:	Senior International Evaluation Consultant
Main Duty Station and Location:	Home-based
Mission/s to:	Cairo, Egypt and one mission to Vienna, Austria
Start of Contract (EOD):	1 October 2015
End of Contract (COB):	15 November 2015
Number of Working Days:	25

ORGANIZATIONAL CONTEXT

The Office for Independent Evaluation 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.

PROJECT CONTEXT

See evaluation terms of reference (attached).

The senior international evaluation consultant will act as a Team leader in this project evaluation according to the terms of reference. She/he will be responsible for the preparation of the evaluation report, including the coordination of inputs from other team members. This concerns in particular the overall assessment of evaluation issues in section IV of the TOR. The Team Leader will perform the following tasks:

MAIN DUTIES	Concrete/ measurable Outputs to be achieved	Expected duration	Location
Review project documentation and relevant country background	List of detailed evaluation questions	5 days	Home-based

information (national policies and strategies, UN strategies and general economic data...); determine key data to collect in the field and prepare key instruments (questionnaires, surveys, logic models...) to collect these data through interviews and/or surveys during and prior to the field missions	to be clarified; questionnaires/ interview guide; logic models; list of key data to collect, draft list of stakeholders to interview during the field missions		
Briefing with the UNIDO Office for Independent Evaluation, project managers and other key stakeholders from UNIDO HQ Preparation of the Inception Report	Interview notes, detailed evaluation schedule and list of stakeholders to interview during the field missions Division of evaluation tasks with the National Consultant Inception Report	2 days	Home-based (telephone interviews)
Provide guidance to the national evaluator and supervise her/his field surveys' findings and outcomes Conduct interviews of project counterparts/beneficiaries, the UNIDO project personnel and of any other relevant institutions/individuals in accordance with the evaluation terms of reference: analyse the information received from interviews	Key evaluation's initial findings, draft conclusions and recommendations to stakeholders in the country at the end of the missions. Agreement with the National Consultant on the structure and content of the evaluation report and the distribution of writing tasks	6 days	Cairo and / or Upper Egypt
Present overall findings and recommendations to the stakeholders at UNIDO HQ (incl. travel)	Presentation slides, feedback from stakeholders obtained and discussed	3 days	Vienna, Austria, UNIDO HQs
Prepare the evaluation report and PowerPoint presentation according to TOR Coordinate the inputs from the National Consultant and combine with her/his own inputs into the draft evaluation report	Draft evaluation report and PowerPoint presentation	6 days	Home-based
Revise the draft project evaluation reports based on comments from UNIDO Office for Independent Evaluation and stakeholders and edit the language and form of the final version according to UNIDO standards	Final evaluation report and PowerPoint presentation	3 days	Home-based
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 preferably in agribusiness, developmental studies or related disciplines.

Technical and Functional Experience:

- A minimum of ten years practical experience in the field of development projects, including evaluation experience at the international level involving technical cooperation in developing countries.
- Exposure to the needs, conditions and problems in developing countries.
- Proven experience in monitoring and evaluation.
- Proven experience in the value chain approach is a plus.

Languages: Fluency in written and spoken English 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 Office for Independent Evaluation.



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

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

Independent Evaluation of the UNIDO Projects

“Upgrading the Medicinal and Aromatic Value Chain – Access to Export Markets”
Project No: US/EGY/10/005

Title:	National Evaluation Consultant
Main Duty Station and Location:	Home-based
Mission/s to:	Upper Egypt
Start of Contract (EOD):	1 October 2015
End of Contract (COB):	15 November 2015
Number of Working Days:	20

ORGANIZATIONAL CONTEXT

The Office for Independent Evaluation 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.

PROJECT CONTEXT

See evaluation terms of reference (attached).

The senior international evaluation consultant will act as a Team leader in this project evaluation according to the terms of reference. She/he will be responsible for the preparation of the evaluation report, including the coordination of inputs from other team members. This concerns in particular the overall assessment of evaluation issues in section IV of the TOR. The Team Leader will perform the following tasks:

MAIN DUTIES	Concrete/ measurable Outputs to be achieved	Expected duration	Location
Review project documentation and relevant country background information (national policies and strategies, UN strategies and general economic data...); in cooperation with Team Leader: determine key data to collect in the field and prepare key instruments (questionnaires, logic	List of detailed evaluation questions to be clarified; questionnaires/ interview guide; logic models; list of key data to collect, draft list of	3 days	Home-based

models...) to collect these data through interviews and/or surveys during and prior to the field missions	stakeholders to interview during the field missions		
Briefing with the evaluation team leader, UNIDO project managers and other key stakeholders Assist in setting up the evaluation mission agenda, coordinating meetings and site visits Assist Team leader in preparation of the Inception Report	Interview notes, detailed evaluation schedule and list of stakeholders to interview during the field missions Division of evaluation tasks with the international Consultant Inception Report	3 days	Home-based (telephone interviews)
Conduct field mission Assist the senior international consultant in conducting the overall evaluation, including: -Undertake field surveys as required by the evaluation and in accordance with pre-defined terms of reference -Collect information and data to be communicated to the senior international consultant -Support the senior international consultant in preparing a the inception and final evaluation reports; draft an executive summary in Arabic -Provide interpretation/ translation assistance as required by the evaluation	Presentations of evaluation's initial findings, draft conclusions and recommendations to stakeholders in the country at the end of the mission. Agreement with the International Consultant and Team Leader on the structure and content of the evaluation report and the distribution of writing tasks	7 days (including travel days)	Cairo and Upper Egypt
Prepare inputs to the evaluation report and PowerPoint presentation according to TOR and as agreed with Team Leader	Draft evaluation report and PowerPoint presentation	5 days	Home-based
Revise the draft project evaluation reports based on comments from UNIDO Office for Independent Evaluation and stakeholders and edit the language and form of the final version according to UNIDO standards	Final evaluation report and PowerPoint presentation	2 days	Home-based
Total		20 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. Judgment and decision making
4. Conflict resolution

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education: Advanced university degree preferably in agribusiness, developmental studies or related disciplines.

Technical and Functional Experience:

- A minimum of five years practical experience in the field technical cooperation, monitoring and/or of evaluation of development projects.
- Exposure to the needs, conditions and problems in developing countries.
- Experience in project management, monitoring and evaluation.
- Experience in the value chain approach would be an asset.
- Experience in the medicinal and aromatic plants sector is a plus.

Languages: Fluency in written and spoken English and Arabic 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 Office for Independent Evaluation.

Annex 3: Project Logical Framework

RBM Code (main):	Results Chain (Intervention Logic)	Indicators			Sources of Verification	Assumptions
Impact	Increased exports of MAP products and improved social welfare through better income for the MAP value chain members	– National average prices relative to international prices of individual crops exported	<u>Baselines</u> TBD	<u>Targets</u> TBD	<ul style="list-style-type: none"> – National statistics (Ministry of Agriculture, Ministry of Foreign Trade and Industry, CAPMAS) – UN COMTRADE – Project data capturing system as per M&E manual (surveys, questionnaire, forms, checklists, etc.) 	<ul style="list-style-type: none"> – National statistics are usually one year lagged (not updated) – Data at the national level lacks accuracy and credibility
		– Volume of export (tons)	TBD	TBD		
		– Net income of MAP products for the target growers	TBD	TBD		
Outcome (1)	1. Upgraded supply chain for the project beneficiaries in terms of linkages, productivity, quality and compliance to TBT/SPS requirements	– Number of rejections of MAP products in country at exporters gate	<u>Baselines</u> TBD	<u>Targets</u> TBD	<ul style="list-style-type: none"> – Rapid Alert System for Food and Feed (RASFF) Portal/Food and Drug Administration (FDA) – Secondary data available for MAP rejections databases of export destinations – Project data capturing system as per M&E manual (surveys, questionnaire, forms, checklists, etc.) 	<ul style="list-style-type: none"> – Government is committed to support MAP project – The demand for MAP projects is still relevant and increasing
		– Number of rejections for MAP products at export gate	TBD	TBD		
		– Per unit productivity of MAP products for the project beneficiaries (3 levels) in the targeted governorates	TBD	TBD		

			– New job opportunities created throughout the MAP value chain	TBD	TBD		
			– Number of sensitive practices promoted throughout the supply chain (training, recruitment, technical support, etc)	TBD	TBD		
			– Number of environmental friendly practices promoted throughout the supply chain	TBD	TBD		
Outputs (1)	1.1. Egyptian MAP Quality Mark (National Quality Certification Scheme) designed following international best practices	RBM: ****	– MAP Quality Mark exists and launched by the stakeholders	<u>Baselines</u> TBD	<u>Targets</u> TBD	– Project data capturing system as per M&E manual (surveys, questionnaires, forms, checklists, etc.)	
	1.2. MAP Service Centres established to provide sustainable advisory services to supply chain members		– Number of service centres established	<u>Baselines</u> TBD	<u>Targets</u> TBD	– Project data capturing system as per M&E manual (surveys, questionnaires, forms, checklists, etc.)	– MAP service centres are recognized and used by the clients.
		– Newly recruited staff and consultants in line with demand	TBD	TBD	– Service centres documentation system		
		– Rate of staff turnover	TBD	TBD			
		– Satisfaction level of the clients	TBD	TBD			

		– Number of relevant stakeholders recognizing the centres as a reference point and an information centre by relevant stakeholders (mainly the value chain member)	TBD	TBD		
		– Number of services offered by the service centre	TBD	TBD		
		– Number of services implemented by the service centre	TBD	TBD		
		– Number of new clients benefitting from the centre	TBD	TBD		
		– Level/degree of cost coverage based on business plan	TBD	TBD		
1.3. Compliance capacity of (10) final processors /exporters enhanced in: productivity, quality, food safety, traceability and environment		– Number of production facilities that adapt and implement food safety and quality schemes (GFSI, National Certification Scheme, traceability etc.)	<u>Baselines</u> TBD	<u>Targets</u> TBD	– Project data capturing system as per M&E manual (surveys, questionnaires, forms, checklists, etc.)	
		– Number of production facilities adapted resource efficient and cleaner production practices	TBD	TBD		

	1.4. Capacity of major pre-processors /local traders (20 SMEs) upgraded in terms of GACP/GMP/GHP, production and handling techniques (post-farm gate)		– Number of pre-processors/traders upgraded, supported and integrated in the Quality Mark	<u>Baselines</u> TBD	<u>Targets</u> TBD	– Project data capturing system as per M&E manual (surveys, questionnaires, forms, checklists, etc.)	– The capacities build to major pre processors and local traders are recognized and give an added value to the supply chain products
	1.5. Capabilities of growers in up to 35,000 acres (50% of MAP production area) upgraded in terms of production, handling and food safety practices and responsiveness to demanded varieties (pre-farm gate)		– Number of growers/area upgraded, supported and integrated in the Quality Mark	<u>Baselines</u> TBD	<u>Targets</u> TBD	– Project data capturing system as per M&E manual (surveys, questionnaires, forms, checklists, etc.)	– There is sufficient land/ha available for growers to produce more MAP products. – There is sufficient labour available for increase production
		– Cultivating new demanded varieties by the beneficiaries	TBD	TBD			
Activities (1)	1.1.1. Design the mark framework (Requirements. Guidelines, protocol, management system) and provide options on the ownership, scope and modalities of implementation including the ownership following a stock taking for all existing models and practices						
	1.1.2. Conduct intensive stakeholder consultation and validation exercise to secure agreement on the final structure of the mark.						
	1.1.3. Support the counterparts in studying similar examples in other countries to establish cooperation.						
	1.1.4. Design the mark through developing all standards, protocol, templates and management system						
	1.1.5. Validate the mark through pilot application in cooperation with the SCs						
	1.1.6. Launch and promote the mark at national level to start full scale implementation through the SCs						
	1.1.7. Identify areas of policy interventions needed for addressing certain issues which might have a negative impact on the project success (water safety, waste management, pesticide registrations, cooperative laws,...etc) , report the cases to the concerned governmental institutions and the Steering Committee to lobby for government actions.						
	1.2.1. Establish infrastructure of the centres						
	1.2.2. Prepare organizational structure/system						

1.2.3. Recruit technical and administrative staff of the centres	
1.2.4. Establish portfolio of technical and training services to different categories of beneficiaries in the supply chain (pre-farm and post-farm gate)	
1.2.5. Implement intensive capacity building programs for the centre’s workforce including training of trainers and on the job	
1.2.6. Involve the centre workforce in the implementation of the technical activities to project beneficiaries	
1.2.7. Monitor the service provision process and implement corrective actions where necessary	
1.2.8. Develop performance evaluation programs	
1.2.9. Establish sustainability plan of the centres	
Identify target clusters (exporters/SMEs/growers) based on a demand driven strategy, and accordingly implement the following activities on these clusters:	
1.3.1. Conduct a diagnostic study on existing processing facilities/exporters and identify upgrading needs	
1.3.2. Provide technical assistance, coaching and training on identified upgrading needs	
1.3.3. Conduct training programs on common production key issues and on updated technologies	
1.3.4. Upgrade quality and food safety management systems at beneficiary processors	
1.3.5. Improve and refine the “one-step-back” traceability systems to reach individual supplying farms	
As part of the cluster identified under 1.3, the pre-processors/traders will be supported through the following activities:	
1.4.1. Conduct a technical study to propose and evaluate different technical solutions for effective transport, storing, drying, extraction and pre-processing of fresh MAPs under hygienic conditions	
1.4.2. Organize study tours to transfer knowledge and experiences on MAP drying, extraction and pre-processing technologies from other countries (technology transfer)	
1.4.3. Establish feasible model non-traditional drying and pre-processing facility in cooperation with project partners	
1.4.4. Demonstrate the model facility to relevant stakeholders and promote for replication	
1.4.5. Assist beneficiaries through the MAP centres on implementing effective quality assurance programs and monitoring critical moisture levels throughout the supply chain to eliminate product contamination	

	1.4.6. Provide training and advisory services through the MAP centres on best practices in drying, extraction and pre-processing with focus on GMP/GHP and reduction of post harvest losses as part of the National Quality Mark					
	As part of the cluster identified under 1.3, the growers will be supported throughout the following key activities:					
	1.5.1. Evaluate current practices adopted and identify existing gaps and bottlenecks					
	1.5.2. Prepare an overall plan for training and technical assistance and identify short term experts needed as part of the cluster					
	1.5.3. Conduct class-room and field trainings by the project's national and international experts					
	1.5.4. Prepare technical manuals for each of the MAP crops that include all technical details on production, harvest and post-harvest handling including food safety					
	1.5.5. Follow up visits through the MAP-SCs technical staff to assure the implementation of recommendations provided by the experts					
Outcome (2)	2. MAP products of project target exporters have an improved position in export markets		<i><u>Baselines</u></i>	<i><u>Targets</u></i>	<ul style="list-style-type: none"> – Surveys among beneficiary enterprises (online/by phone/ during international fairs and exhibitions / study tours) – Progress report – Mission reports 	<ul style="list-style-type: none"> – Willingness and capacity of SME to adapt their offer to potential buyer's requirements. – Fair competition among beneficiary enterprises and serious management of export business (i.e on time deliveries). – The government continues to focus on agribusiness export strategies – Support of government to exporters and their consortia
		<ul style="list-style-type: none"> – Level of satisfaction of existing international buyers on Egyptian MAP products 	TBD	TBD		
		<ul style="list-style-type: none"> – Level of perception of potential buyers against quality of MAP products from Egypt 	TBD	TBD		
Outputs (2)	2.1. Enterprises capacities strengthened in terms of product development and value addition	RBM: *****	<i><u>Baselines</u></i>	<i><u>Targets</u></i>	<ul style="list-style-type: none"> – Online tools (Evaluation Form, updating records, new material uploaded) 	<ul style="list-style-type: none"> – Financial and human commitment of enterprises and institutions to product
		<ul style="list-style-type: none"> – Up to 5 new value addition opportunities identified and supported 	0	5		

		– Up to 5 solutions provided through technical requests received by the project (requests for technical assistance)	0	5	– Product Development Form – Client registration/Response Form and SC activity reports	development
		– Up to 5 enterprises starting value addition initiatives (business cases) with the assistance of the project	0	5	– Checklist	
2.2. Export/origin consortium established		– One export/origin consortium is formally established	<u>Baselines</u> 0	<u>Target</u> 1	– Consortium’s statute, action/business plans, project’s reports, communication tools developed by the consortium, joint specifications document (in case of origin consortium), etc.	– Coherence among member firms in terms of size, export experience, quality of products and production methods. – Commitment of member firms to invest human and financial resources in joint activities. – Egyptian supply chain members acknowledge the importance of being organized in a consortium
		– At least 2 joint actions implemented by the consortium during the project life time	0	2		
2.3. Quality mark/collective brand for MAP products recognized at export markets and effective market access program in place		– At least 3 market access activities successfully implemented	<u>Baselines</u> TBD	<u>Target</u> 3	– B2B follow-up forms – Mission follow-up forms	– Financial and human commitment of beneficiary enterprises to implement the market access program and to follow-up on business contacts
		– 50 to 100 new business contacts established (also in cooperation with SIPPO)	TBD	50-100	– Market access program proposal	

			– Proposal for a sustainable 3 years market access program formulated and validated by beneficiaries	TBD	TBD		<ul style="list-style-type: none"> – Established linkages are used to improve businesses – Branding is recognized in the market as valuable
Activities (2)	2.1.1.	Develop a web portal to gather information on applicable standards and product requirements (including product specifications, quality standards, packaging, labelling etc.)					
	2.1.2.	Disseminate the above information through the web portal with a view to increase enterprise awareness of global market requirements					
	2.1.3.	Assist local enterprises in assessing opportunities for product development in relation with actual market demands					
	2.1.4.	Identify new value addition opportunities and provide solutions for their implementation					
	2.2.1.	Organize awareness building activities					
	2.2.2.	Identify and select a group of firms wishing to establish the consortium according to potential joint target export channels (fair trade)					
	2.2.3.	Assist the group in the establishment of the consortium					
	2.2.4.	Assist the consortium in the implementation of its first joint pilot activities (other than those included in the market access program below): implementation of joint marketing tools (website					
	2.3.1.	Introduce the quality mark (developed under outcome 1) and collective brand (in case of origin consortium) to potential customers in export markets jointly with market access and investment promotion activities					
	2.3.2.	Implement promotional campaigns, matchmaking activities and business ventures to introduce the MAP sector as an attractive investment/trade option in cooperation with UNIDO Network and other relevant institutions					
	2.3.3.	Provide support for the preparation of promotional events, participation in trade fairs, follow-up on business contacts					
	2.3.4.	Coordinate efforts with other international initiatives supporting trade capacity building, investment promotion and market access, such as SIPPO and CBI and link beneficiary enterprises to their services					
	2.3.5.	Assist beneficiaries to formulate a proposal to ensure the sustainability of a three years market access program to be implemented by the consortium after project completion					

	2.3.6. Identify areas of policy interventions needed for addressing certain issues which might have a negative impact on the project success (water safety, waste management, pesticide registrations, cooperative laws,...etc) , report the cases to the concerned governmental institutions and the Steering Committee to lobby for government actions.	
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Notes:

* Results are the output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention.

** Glossary of Key Terms in Evaluation and results Based Management, OECD 2010. ISBN: 92-64-08527-0. www.oecd.org/dac/evaluationnetwork

*** Risk analysis: An analysis or an assessment of factors (called assumptions in the logframe) affect or are likely to affect the successful achievement of an intervention's objectives.

**** If the RBM code for an Output is different from the main RBM code for the entire logframe, note the **different** code in this column.

***** Milestones for the activities are to be specified separately in the Work Plan

Annex 4: Checklist on Evaluation Report Quality

Report quality criteria	UNIDO Office for Independent Evaluation Assessment notes	Rating
Report Structure and quality of writing		
<p>The report is written in clear language, correct grammar and use of evaluation terminology. The report is logically structured with clarity and coherence. It contains a concise executive summary and all other necessary elements as per TOR.</p>		
Evaluation objective, scope and methodology		
<p>The evaluation objective is explained and the scope defined.</p> <p>The methods employed are explained and appropriate for answering the evaluation questions.</p> <p>The evaluation report gives a complete description of stakeholder’s consultation process in the evaluation.</p> <p>The report describes the data sources and collection methods and their limitations.</p> <p>The evaluation report was delivered in a timely manner so that the evaluation objective (e.g. important deadlines for presentations) was not affected.</p>		
Evaluation object		
<p>The logic model and/or the expected results chain (inputs, outputs and outcomes) of the object is clearly described.</p> <p>The key social, political, economic, demographic, and institutional factors that have a direct bearing on the object are described.</p> <p>The key stakeholders involved in the object implementation, including the implementing agency(s) and partners, other key stakeholders and their roles are described.</p> <p>The report identifies the implementation status of the object, including its phase of implementation and any significant changes (e.g. plans, strategies, logical frameworks) that have occurred over time and explains the implications of those changes for the evaluation.</p>		
Findings and conclusions		

<p>The report is consistent and the evidence is complete (covering all aspects defined in the TOR) and convincing.</p> <p>The report presents an assessment of relevant outcomes and achievement of project objectives.</p> <p>The report presents an assessment of relevant external factors (assumptions, risks, impact drivers) and how they influenced the evaluation object and the achievement of results.</p> <p>The report presents a sound assessment of sustainability of outcomes or it explains why this is not (yet) possible.</p> <p>The report analyses the budget and actual project costs.</p> <p>Findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report and are based on evidence derived from data collection and analysis methods described in the methodology section of the report.</p> <p>Reasons for accomplishments and failures, especially continuing constraints, are identified as much as possible.</p> <p>Conclusions are well substantiated by the evidence presented and are logically connected to evaluation findings.</p> <p>Relevant cross-cutting issues, such as gender, human rights, and environment are appropriately covered.</p>		
Recommendations and lessons learned		
<p>The lessons and recommendations are based on the findings and conclusions presented in the report.</p> <p>The recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?').</p> <p>Recommendations are implementable and take resource implications into account.</p> <p>Lessons are readily applicable in other contexts and suggest prescriptive action.</p>		

Rating system for quality of evaluation reports

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

Annex 5: UNIDO Procurement Process

UNIDO Procurement Process -- Generic Approach and Assessment Framework --

1. Introduction

This document outlines an approach and encompasses a framework for the assessment of UNIDO procurement processes, to be included as part of country evaluations as well as in technical cooperation (TC) projects/programmes evaluations.

The procurement process assessment will review in a systematic manner the various aspects and stages of the procurement process being a key aspect of the technical cooperation (TC) delivery. These reviews aim to diagnose and identify areas of strength as well as where there is a need for improvement and lessons.

The framework will also serve as the basis for the “thematic evaluation of the procurement process efficiency” to be conducted in 2015 as part of the ODG/EVA work programme for 2014-15.

2. Background

Procurement is defined as the overall process of acquiring goods, works, and services, and includes all related functions such as planning, forecasting, supply chain management, identification of needs, sourcing and solicitation of offers, preparation and award of contract, as well as contract administration until the final discharge of all obligations as defined in the relevant contract(s). The procurement process covers activities necessary for the purchase, rental, lease or sale of goods, services, and other requirements such as works and property. Past project and country evaluations commissioned by ODG/EVA raised several issues related to procurement and often efficiency related issues. It also became obvious that there is a shared responsibility in the different stages of the procurement process which includes UNIDO staff, such as project managers, and staff of the procurement unit, government counterparts, suppliers, local partner agencies (i.e. UNDP), customs and transport agencies etc..

In July 2013, a new “UNIDO Procurement Manual” was introduced. This Procurement Manual provides principles, guidance and procedures for the Organization to attain specified standards in the procurement process. The Procurement Manual also establishes that “The principles of fairness, transparency, integrity, economy, efficiency and effectiveness must be applied for all procurement transactions, to be delivered with a high level of professionalism thus justifying UNIDO’s involvement in and adding value to the implementation process”.

To reduce the risk of error, waste or wrongful acts and the risk of not detecting such problems, no single individual or team controls shall control all key stages of a transaction. Duties and responsibilities shall be assigned systemically to a number of individuals to ensure that effective checks and balances are in place.

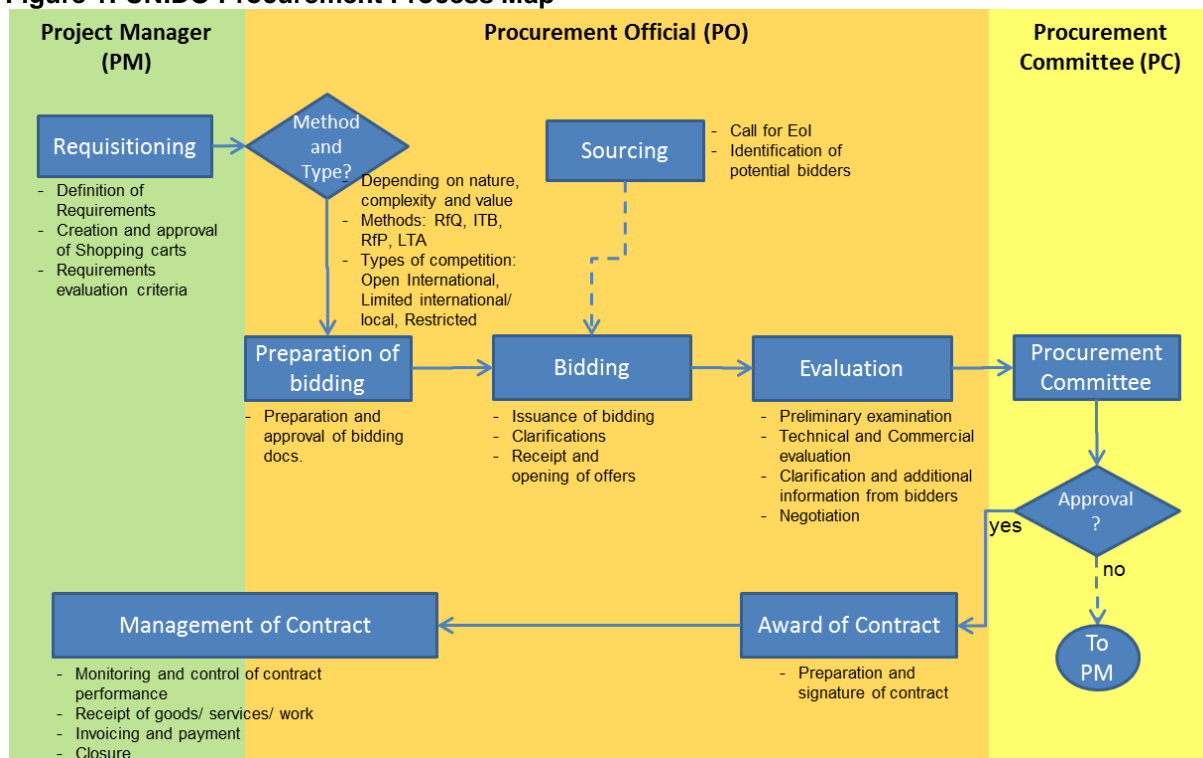
In UNIDO, authorities, responsibilities and duties are segregated where incompatible. Related duties shall be subject to regular review and monitoring. Discrepancies, deviations and exceptions are properly regulated in the Financial Regulations and Rules and the Staff Regulations and Rules. Clear segregation of duties is maintained between programme/project management, procurement and supply chain management, risk management, financial management and accounting as well as auditing and internal oversight. Therefore, segregation of duties is an important basic principle of internal control and must be observed throughout the procurement process.

The different stages of the procurement process should be carried out, to the extent possible, by separate officials with the relevant competencies. As a minimum, two officials shall be involved in carrying out the procurement process. The functions are segregated among the officials belonging to the following functions:

- Procurement Services: For carrying out centralized procurement, including review of technical specifications, terms of reference, and scope of works, market research/surveys, sourcing/solicitation, commercial evaluation of offers, contract award, contract management;
- Substantive Office: For initiating procurement requests on the basis of well formulated technical specifications, terms of reference, scope of works, ensuring availability of funds, technical evaluation of offers; award recommendation; receipt of goods/services; supplier performance evaluation. In respect of decentralized procurement, the segregation of roles occur between the Project Manager/Allotment Holder and his/her respective Line Manager. For Fast Track procurement, the segregate on occurs between the Project Manager/Allotment Holder and Financial Services;
- Financial Services: For processing payments.

Figure 1 presents a preliminary “Procurement Process Map”, showing the main stages, stakeholders and their respective roles and responsibilities. During 2014/2015, in preparation for the thematic evaluation of the procurement process in 2015, this process map/ workflow will be further refined and reviewed.

Figure 1: UNIDO Procurement Process Map



3. Purpose

The purpose of the procurement process assessments is to diagnose and identify areas for possible improvement and to increase UNIDO's learning about strengths and weaknesses in the procurement process. It will also include an assessment of the adequacy of the 'Procurement Manual' as a guiding document.

The review is intended to be useful to managers and staff at UNIDO headquarters and in the field offices (project managers, procurement officers), who are the direct involved in procurement and to UNIDO management.

4. Scope and focus

Procurement process assessments will focus on the efficiency aspects of the procurement process, and hence it will mainly fall under the efficiency evaluation criterion. However, other criteria such as effectiveness will also be considered as needed.

These assessments are expected to be mainstreamed in all UNIDO country and project evaluations to the extent of its applicability in terms of inclusion of relevant procurement related budgets and activities.

A generic evaluation matrix has been developed and is found in Annex B. However questions should be customized for individual projects when needed.

5. Key Issues and Evaluation Questions

Past evaluations and preliminary consultations have highlighted the following aspects or identified the following issues:

- Timeliness. Delays in the delivery of items to end-users.
- Bottlenecks. Points in the process where the process stops or considerably slows down.
- Procurement manual introduced, but still missing subsidiary templates and tools for its proper implementation and full use.
- Heavy workload of the procurement unit and limited resources and increasing "procurement demand"
- Lack of resources for initiating improvement and innovative approaches to procurement (such as Value for Money instead of lowest price only, Sustainable product lifecycle, environmental friendly procurement, etc.)
- The absence of efficiency parameters (procurement KPIs)

On this basis, the following evaluation questions have been developed and would be included as applicable in all project and country evaluations in 2014-2015

- To what extent does the process provide adequate treatment to different types of procurement (e.g. by value, by category, by exception...)
- Was the procurement timely? How long the procurement process takes (e.g. by value, by category, by exception...)
- Did the good/item(s) arrive as planned or scheduled? If no, how long were the times gained or delays. If delay, what was the reason(s)?
- Were the procured good(s) acquired at a reasonable price?
- To what extent were the procured goods of the expected/needed quality and quantity?

- Were the transportation costs reasonable and within budget. If no, please elaborate.
- Was the freight forwarding timely and within budget?. If no, please elaborate.
- Who was responsible for the customs clearance? UNIDO FO? UNDP? Government? Other?
- Was the customs clearance handled professionally and in a timely manner? How many days did it take?
- How long time did it take to get approval from the government on import duty exemption?
- Which were the main bottlenecks / issues in the procurement process?
- Which good practices have been identified?
- To what extent roles and responsibilities of the different stakeholders in the different procurement stages are established, adequate and clear?
- To what extent there is an adequate segregation of duties across the procurement process and between the different roles and stakeholders?

6. Evaluation Method and Tools

These assessments will be based on a participatory approach, involving all relevant stakeholders (e.g. process owners, process users and clients).

The evaluation tools to be considered for use during the reviews are:

- **Desk Review:** Policy, Manuals and procedures related to the procurement process. Identification of new approaches being implemented in other UN or international organizations. Findings, recommendations and lessons from UNIDO Evaluation reports.
- **Interviews:** to analyze and discuss specific issues/topics with key process stakeholders
- **Survey to stakeholders:** To measure the satisfaction level and collect expectations, issues from process owners, user and clients
- **Process and Stakeholders Mapping:** To understand and identify the main phases the procurement process and sub-processes; and to identify the perspectives and expectations from the different stakeholders, as well as their respective roles and responsibilities
- **Historical Data analysis from IT procurement systems:** To collect empirical data and identify and measure to the extent possible different performance dimensions of the process, such as timeliness, re-works, complaints, ..)

An evaluation matrix is presented in Annex A, presenting the main questions and data sources to be used in the project and country evaluations, as well as the preliminary questions and data sources for the forthcoming thematic evaluation on Procurement process in 2015.

ANNEX A: Evaluation Matrix for the Procurement Process

No.	Area	Evaluation Question	Indicators ²	Data Source(s) For Country / Project Evaluations	Additional data Source(s) For Thematic Evaluation of procurement process in 2015.
	Timeliness	- Was the procurement timely? How long the procurement process takes (e.g. by value, by category, by exception...)	(Overall) Time to Procure (TTP)	<ul style="list-style-type: none"> Interviews with PMs, Government counterparts and beneficiaries 	<ul style="list-style-type: none"> Procurement related documents review SAP/Infobase (queries related to procurement volumes, categories, timing, issues) Evaluation Reports Survey to PMs, procurement officers, beneficiaries, field local partners. Interviews with Procurement officers
		- Did the good/item(s) arrive as planned or scheduled? If no, how long were the times gained or delays. If delay, what was the reason(s)?	Time to Delivery (TTD)	<ul style="list-style-type: none"> Interviews with PM, procurement officers and Beneficiaries 	
		- Was the freight forwarding timely and within budget? If no, please elaborate.			
		- Was the customs clearance timely? How many days did it take?		<ul style="list-style-type: none"> Interviews with PMs, Government counterparts and beneficiaries 	
		- How long time did it take to get approval from the government on import duty exemption	Time to Government Clearance (TTGC)	<ul style="list-style-type: none"> Interviews with beneficiaries 	
	Roles and Responsibilities	- To what extent roles and responsibilities of the different stakeholders in the different procurement stages are established, adequate and clear?	Level of clarity of roles and responsibilities	<ul style="list-style-type: none"> Procurement Manual Interview with PMs 	
		- To what extent there is an adequate segregation of duties		<ul style="list-style-type: none"> Procurement Manual Interview with PMs 	<ul style="list-style-type: none"> Interviews with Procurement officers

² These indicators are preliminary proposed here. They will be further defined and piloted during the Thematic Evaluation of UNIDO procurement process planned for 2015.

No.	Area	Evaluation Question	Indicators ²	Data Source(s) For Country / Project Evaluations	Additional data Source(s) For Thematic Evaluation of procurement process in 2015.
		across the procurement process and between the different roles and stakeholders?			
		- How was responsibility for the customs clearance arranged? UNIDO FO? UNDP? Government? Other?		<ul style="list-style-type: none"> • Procurement Manual • Interview to PMs • Interviews with local partners 	
		- To what extent were suppliers delivering products/ services as required?	Level of satisfaction with Suppliers	<ul style="list-style-type: none"> • Interviews with PMs 	
	Costs	- Were the transportation costs reasonable and within budget. If no, please elaborate.		<ul style="list-style-type: none"> • Interviews with PMs 	<ul style="list-style-type: none"> • Evaluation Reports • Survey to PMs, procurement officers, beneficiaries, field local partners. • Interviews with Procurement officers
		- Were the procured goods/services within the expected/planned costs? If no, please elaborate	Costs vs budget	<ul style="list-style-type: none"> • Interview with PMs 	
	Quality of Products	- To what extent the process provides adequate treatment to different types of procurement (e.g. by value, by category, by exception...)		<ul style="list-style-type: none"> • Interview with PMs 	<ul style="list-style-type: none"> • Evaluation Reports • Survey to PMs, procurement officers, beneficiaries, field local partners. • Interviews with Procurement officers
		- To what extent were the procured goods of the expected/needed quality and quantity?.	Level of satisfaction with products/services	<ul style="list-style-type: none"> • Survey to PMs and beneficiaries • Observation in project site 	
	Process workflow /	- To what extent the procurement process is fit for purpose?	Level of satisfaction with the procurement	<ul style="list-style-type: none"> • Interviews with PMs, Government counterparts and beneficiaries 	<ul style="list-style-type: none"> • Procurement related documents review • Evaluation Reports

No.	Area	Evaluation Question	Indicators ²	Data Source(s) For Country / Project Evaluations	Additional data Source(s) For Thematic Evaluation of procurement process in 2015.
			process		
		- Which are the main bottlenecks / issues in the procurement process?		<ul style="list-style-type: none"> • Interviews with PMs, Government counterparts and beneficiaries 	<ul style="list-style-type: none"> • Survey to PMs, procurement officers, beneficiaries, field local partners. • Procurement related documents review • Evaluation Reports • Survey to PMs, procurement officers, beneficiaries, field local partners. • Interviews with Procurement officers
		- Which part(s) of the procurement process can be streamlined or simplified?		<ul style="list-style-type: none"> • Interview with PMs 	