

## **ANNEX – I**

### **TERMS OF REFERENCE**

#### **1- BACKGROUND**

The project being implemented in collaboration with the General Directorate of Forestry, Department of Forest and Village Relations (aka ORKOY) is a 4 year long (2016-2020) GEF Full Size Project, namely Sustainable Energy Financing Mechanism for Solar Photovoltaic Systems in Forest Villages in Turkey, aka ORKOY GEF Project. The project assists Turkey with the promotion and financing of on-grid solar PV systems via village cooperatives in forest villages. The public support and involvement in the initiative will be led by the GDF, working together with other key actors in the solar PV value chain, including private sector solar PV installers, Turkish utilities, and domestic and international banks as well as other institutions that provide financing. The project objective is to support the successful launching of a sustainable energy financing mechanism within the ORKOY credit mechanism to ensure that there is at least 30 MW of installed capacity of grid-connected, cooperative solar PV in forest villages) by the end of the project; 28,750 tons CO<sub>2</sub>eq avoided emissions from the power sector (compared to the project baseline) by the end of the project; 30MWp cumulative installed capacity of grid-connected PV systems; 47,520,000 kWh/year cumulative total electricity generation from installed grid-connected PV systems and 450 created job positions for forest villagers. The project is divided in 3 components focused on;

- Developing and expanding the policy and institutional framework to promote on-grid, residential solar PV (Component 1),
- Demonstrating the technical and economic viability as well as the business model of the ORKOY sustainable energy financing mechanism for solar PV systems through 4 pilot installations (Component 2), and
- Scaling up and replication at the national level (Component 3).

The financing scheme will be divided into 4 phases. The first one will use grants only for financing of the pilot sites installation; second phase will use combination of GEF and ORKOY grants and ORKOY soft loan; third phase will introduce commercial loan together with GEF/ORKOY grants and ORKOY soft loan and the last phase will use deferred supplier payment tool in combination with ORKOY grant/soft loan and commercial line of credit.

The Expert will serve for overall Mid-Term Evaluation of all components, outputs and activities of subject project.

#### **2- SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED ANALYTICAL WORK**

The MTR (Mid-Term Review) will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability.

The mid-term review will be carried out by MTR Expert. The Expert will receive the support of UNDP Country Office and Project Management Unit, and will be assisted by a facilitator assigned by UNDP (when needed).

### 3- DUTIES & RESPONSIBILITIES OF THE INDIVIDUAL CONSULTANT (IC)

The Expert will carry out the following activities indicated in Section 5 of this Terms of Reference before producing the deliverables listed in this ToR:

The MTR Expert will be provided with support for below listed activities;

- Collection of background materials;
- Debriefings with UNDP CO and GDF representatives;
- Mission program together with the Project Management Unit, meetings with key stakeholders;
- Conducting interviews with relevant stakeholders and provide translation during the interviews when necessary;
- Debriefing with UNDP and project partners;
- Circulation of the draft MTR report among the key project stakeholders for review and comments.

### 4- INSTITUTIONAL ARRANGEMENTS

UNDP will provide the IC all relevant background documents. UNDP is not required to provide any physical facility for the work of the IC. However, depending on the availability of physical facilities (e.g. working space, computer, printer, telephone lines, internet connection etc.) and at the discretion of the UNDP in consultation with relevant stakeholders such facilities may be provided at the disposal of the IC.

The Expert will report to Natural Resources and Biodiversity Cluster Lead of UNDP. The Expert will conduct the Mid-Term Review in close collaboration with Energy Efficiency and Renewable Energy Senior Technical Advisor and Monitoring & Evaluation Advisor at UNDP CO.

UNDP will assign a facilitator to set up the stakeholder interviews, arrange the field visits, coordinate with the GDF and provide translation (when necessary).

In preparation for the evaluation mission, Natural Resources and Biodiversity Cluster Lead, with assistance of UNDP CO, will arrange completion of the Management Effectiveness Tracking Tool (METT). Results of METT should be used by an international project evaluation consultant, who will provide his/her comments and track the progress in management effectiveness of project sites. Upon incorporation of the evaluator's comments the METT will be finalized and the results should be attached as a mandatory Annex to the MTR report.

These Terms of Reference follow the UNDP-GEF policies and procedures.

### 5. DELIVERABLES

The core product of the Mid-Term Review will be the Mid-Term Review Report given and Rating Tables given in Annex 2 of Procurement Notice.

In order to fulfill required tasks for the development of deliverables as defined and listed in the table below, the **estimated** number of days to be invested are also provided. The number of days presented as 'estimated number of man days to be invested' are **indicative**. The IC may invest less/more than the estimated number of days in each month and finalize the respective deliverable.

The payment for each deliverable will be made on the basis of the actual number of days invested for that respective deliverable; however, the overall number of days to be invested for all deliverables cannot exceed **25 days throughout the contract validity**. The amount paid shall be gross and inclusive of all associated costs such as social security, pension and income tax.

The deliverables expected from the MTR Expert are as follows:

| Activities   | Deliverables   | Target Date for Submission to Undp | Estimated Number of Working/Days to be invested* |
|--|--|------------------------------------|--|
| - Detailed methodology, work plan and outline;   | Inception Report: Desk review, development of methodology, updating time table, drafting mission programme. Incorporating comments received from UNDP Country Office (if necessary).   | <b>30 January 2019</b>             | 4  |
| - Recommendations for a strategy for future replication of the project approach for other types of the climate change and sustainable energy financing projects, for other countries in the region;            | In-country field visits, interviews, preliminary mission findings briefing(s), debriefings with project partners and providing aide memoire. Delivering a presentation on aide memoire (finding(s) and recommendation(s)) to Project Partners. | <b>25 February 2019</b>            | 12   |
| -Mid-term review report with findings<br>-Lessons learned and recommendations for improvement, including recommendations for the revision of project strategy, approach, outputs and activities, if necessary; | Submission of Draft MTR report   | <b>15 March 2019</b>               | 7  |
| - Description of best practices, and an “action list” in a certain area of particular importance for the project.  | Finalization of the MTR Report in line with the comments received from the relevant stakeholders regarding the Draft MTR Report.   | <b>15 April 2019</b>               | 2  |
| <b>Estimated Total Number of days</b>  |  |                                    | 25   |

### Reporting Line

The MTR Expert will be responsible to the UNDP Natural Resources and Biodiversity Cluster Lead for the completion of the tasks and duties assigned in Section 3 of this ToR. All of the reports are subject to approval from UNDP Natural Resources and Biodiversity Cluster Lead in order to realize the payments to the MTR Expert. He/she will work in close collaboration with Project Management Unit, GDF, and other project partners.

### Reporting Language

The reporting language should be in English.

### Title Rights

The title rights, copyrights and all other rights whatsoever nature in any material produced under the provisions of this TORs will be vested exclusively in UNDP.

## 6- MINIMUM QUALIFICATION REQUIREMENTS

The candidates who participated in project preparation, formulation, and/or implementation (including the writing of the Project Document) are not eligible for this consultancy. The candidates should not have a conflict of interest in terms of project activities.

The required qualifications of the MTR Expert are as follows:

|   | Minimum Requirements   | Assets  |
|---|--|---|
| <b>General Qualifications</b><br>(15 points)  | <ul style="list-style-type: none"> <li>Bachelor's Degree in Energy, Natural Resources, Environmental Economics, Engineering, Business Administration, Economics or other related areas (7 points)</li> <li>Fluency in English both written and spoken. (2 points)</li> <li>Full computer literacy. (1,5 points)</li> </ul>   | <ul style="list-style-type: none"> <li>Masters or Higher Degree in Energy, Natural Resources, Renewable Energy, Solar Energy, Environmental Economics, Engineering, Business Administration, Economics, Forestry (4,5 points)</li> </ul>  |
| <b>Professional Experience</b><br>(20 points) | <ul style="list-style-type: none"> <li>Proven knowledge and experience on renewable energy and/or climate change (9 points)</li> <li>Minimum ten (10) years of relevant professional experience (5 points)</li> </ul>  | <ul style="list-style-type: none"> <li>More than fifteen (15) years of relevant professional experience. (2 points)</li> <li>Experience working in one or more environmental or renewable energy project(s) in the Europe &amp; CIS region (2 points)</li> <li>Experience working in one or more environmental or renewable energy project(s) in Turkey in the past 7 years (2 points)</li> </ul>   |
| <b>Specific Experience</b><br>(35 points)     | <ul style="list-style-type: none"> <li>5 years of professional experience in providing management or consultancy services to environment and/or renewable energy projects (13 points)</li> <li>Experience in monitoring and evaluation of environment and/or renewable energy projects for UN or other international development agencies (at least in one project) (11,5 points)</li> </ul> | <ul style="list-style-type: none"> <li>Solid knowledge in results-based management (especially results-oriented monitoring and evaluation) (1,5 points).</li> <li>More than 8 years of relevant professional experience in providing management or consultancy services to environment and/or forestry projects (2 points) .</li> <li>Knowledge of GEF M&amp;E guidelines and procedures (3 points).</li> <li>Experience in having worked on solar energy projects anywhere in</li> </ul> |

|  | Minimum Requirements | Assets   |
|--|----------------------|--|
|  |                      | <p>the world as an advisor, consultant, developer, evaluator and/or investor in the past 7 years (2 points).</p> <ul style="list-style-type: none"> <li>• Experience in having worked on solar energy projects in Turkey as an advisor, consultant, developer, evaluator, and/or investor in the past 7 years (2 points).</li> </ul> |

**Notes:**

- Internships (paid/unpaid) are not considered professional experience.
- Obligatory military service is not considered professional experience.
- Professional experience gained in an international setting is considered international experience.

Female candidates are encouraged to apply.

## 7. TIMING AND DURATION

The work will be undertaken during a period of 25 man/day throughout the time-frame below;

- Estimated Contract Start Date: 14 January 2019
- Estimated Date for Submission of Last Deliverable: 15 April 2019
- Estimated Contract End Date: 14 May 2019

## 8. PLACE OF WORK

Place of work (duty station) for the assignment is home-based. There will be *missions to Ankara and selected project sites*. The mission shall be a minimum of 10 working days in Turkey, although this may be broken into two shorter missions with the mutual agreement of the consultant and UNDP Turkey, provided that the total number of days spent in Turkey is not less than 10 working days. The mission to Turkey will cover days spent in Ankara, as well as days spent to visit project sites and also possibly a day or days in Istanbul for relevant meetings. All travel related costs (cost items indicated below) of these missions out of the duty station (economy class flight ticket and accommodation in 3 or 4-star hotel) will be borne by UNDP. Approval of UNDP is needed prior to the missions is needed. The costs of these missions may either be;

- Arranged and covered by UNDP CO from the respective project budget without making any reimbursements to the consultant or
- Reimbursed to the consultant upon the submission of the receipts/invoices of the expenses by the consultant and approval of the UNDP. The reimbursement of each cost item subject to following constraints/conditions provided in below table;
- covered by the combination of both options

| <b>Cost item</b>  | <b>Constraints</b>  | <b>Conditions of Reimbursement</b>   |
|---|---|--|
| Travel (intercity transportation)   | full-fare economy class tickets   | 1- Approval by UNDP of the cost items before the initiation of travel<br>2- Submission of the invoices/receipts, etc. by the consultant with the UNDP's F-10 Form<br>3- Acceptance and Approval by UNDP of the invoices and F-10 Form. |
| Accommodation   | Up to 50% of the effective DSA rate of UNDP for the respective location |  |
| Breakfast   | Up to 6% of the effective DSA rate of UNDP for the respective location  |  |
| Lunch   | Up to 12% of the effective DSA rate of UNDP for the respective location |  |
| Dinner  | Up to 12% of the effective DSA rate of UNDP for the respective location |  |
| Other Expenses (intra city transportations, transfer cost from /to terminals, etc.) | Up to 20% of effective DSA rate of UNDP for the respective location     |  |

## 9. PAYMENTS

Payments will be made within 30 days upon acceptance and approval of the corresponding deliverable by UNDP on the basis of actual number of days invested in that respective deliverable and the pertaining Certification of Payment document signed by the MTR Expert and approved by the responsible UNDP Natural Resources and Biodiversity Cluster Lead. The total amount of payment to be affected to the MTR Expert within the scope of this contract cannot exceed 25 days.

The MTR Expert shall be paid in US\$ if he/she resides in a country different than Turkey. If he/she resides in Turkey, the payment shall be realized in TL through conversion of the US\$ amount by the official UN exchange rate valid on the date of money transfer.

If the deliverables are not produced and delivered by the MTR Expert to the satisfaction of UNDP as approved by the responsible Cluster Lead, no payment will be made even if the consultant has invested man/days to produce and deliver such deliverables.

Expected delivery dates of the reports will be finalized by UNDP during the Briefing Meeting that will be conducted upon contract signature.

The amount paid to the MTR Expert shall be gross and inclusive of all associated costs such as social security, pension and income tax etc.

Tax Obligations: The IC is solely responsible for all taxation or other assessments on any income derived from UNDP. UNDP will not make any withholding from payments for the purposes of income tax. UNDP is exempt from any liabilities regarding taxation and will not reimburse any such taxation to the IC.

## **10. ATTACHMENTS**

**Attachment A:** GEF Terminology and Project Review Criteria

**Attachment B:** Project Ratings

**Attachment C:** Evaluator Code of Conduct

### **ATTACHMENT A. GEF TERMINOLOGY AND PROJECT REVIEW CRITERIA**

**Implementation Approach** includes an analysis of the project's logical framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management.

Some elements of an effective implementation approach may include:

- The logical framework used during implementation as a management and M&E tool
- Effective partnerships arrangements established for implementation of the project with relevant stakeholders involved in the country/region
- Lessons from other relevant projects (e.g., same focal area) incorporated into project implementation
- Feedback from M&E activities used for adaptive management.

**Country Ownership/Driveness** is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements where applicable. Project Concept has its origin within the national sectoral and development plans

Some elements of effective country ownership/driveness may include:

- Project Concept has its origin within the national sectoral and development plans
- Outcomes (or potential outcomes) from the project have been incorporated into the national sectoral and development plans
- Relevant country representatives (e.g., governmental official, civil society, etc.) are actively involved in project identification, planning and/or implementation
- The recipient government has maintained financial commitment to the project
- The government has approved policies and/or modified regulatory frameworks in line with the project's objectives

For projects whose main focus and actors are in the private-sector rather than public-sector (e.g., IFC projects), elements of effective country ownership/driveness that demonstrate the interest and commitment of the local private sector to the project may include:

- The number of companies that participated in the project by: receiving technical assistance, applying for financing, attending dissemination events, adopting environmental standards promoted by the project, etc.

- Amount contributed by participating companies to achieve the environmental benefits promoted by the project, including: equity invested, guarantees provided, co-funding of project activities, in-kind contributions, etc.
- Project's collaboration with industry associations

**Stakeholder Participation/Public Involvement** consists of three related and often overlapping processes: information dissemination, consultation, and “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF-financed project. The term also applies to those potentially adversely affected by a project.

Examples of effective public involvement include:

#### Information dissemination

- Implementation of appropriate outreach/public awareness campaigns

#### Consultation and stakeholder participation

- Consulting and making use of the skills, experiences and knowledge of NGOs, community and local groups, the private and public sectors, and academic institutions in the design, implementation, and evaluation of project activities

#### Stakeholder participation

- Project institutional networks well placed within the overall national or community organizational structures, for example, by building on the local decision making structures, incorporating local knowledge, and devolving project management responsibilities to the local organizations or communities as the project approaches closure
- Building partnerships among different project stakeholders
- Fulfillment of commitments to local stakeholders and stakeholders considered to be adequately involved.

**Sustainability** measures the extent to which benefits continue, within or outside the project domain, from a particular project or program after GEF assistance/external assistance has come to an end. Relevant factors to improve the sustainability of project outcomes include:

- Development and implementation of a sustainability strategy.
- Establishment of the financial and economic instruments and mechanisms to ensure the ongoing flow of benefits once the GEF assistance ends (from the public and private sectors, income generating activities, and market transformations to promote the project's objectives).
- Development of suitable organizational arrangements by public and/or private sector.
- Development of policy and regulatory frameworks that further the project objectives.
- Incorporation of environmental and ecological factors affecting future flow of benefits.
- Development of appropriate institutional capacity (systems, structures, staff, expertise, etc.) .
- Identification and involvement of champions (i.e. individuals in government and civil society who can promote sustainability of project outcomes).
- Achieving social sustainability, for example, by mainstreaming project activities into the economy or community production activities.
- Achieving stakeholder's consensus regarding courses of action on project activities.



**Replication approach**, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Examples of replication approaches include:

- Knowledge transfer (i.e., dissemination of lessons through project result documents, training workshops, information exchange, a national and regional forum, etc).
- Expansion of demonstration projects.
- Capacity building and training of individuals, and institutions to expand the project's achievements in the country or other regions.
- Use of project-trained individuals, institutions or companies to replicate the project's outcomes in other regions.

**Financial Planning** includes actual project cost by activity, financial management (including disbursement issues), and co-financing. If a financial audit has been conducted the major findings should be presented in the TE.

Effective financial plans include:

- Identification of potential sources of co-financing as well as leveraged and associated financing<sup>1</sup>.
- Strong financial controls, including reporting, and planning that allow the project management to make informed decisions regarding the budget at any time, allows for a proper and timely flow of funds, and for the payment of satisfactory project deliverables
- Due diligence due diligence in the management of funds and financial audits.

*Co-financing includes:* grants, loans/concessional (compared to market rate), credits, equity investments, in-kind support, other contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries. Please refer to Council documents on co-financing for definitions, such as GEF/C.20/6.

*Leveraged resources* are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

**Cost-effectiveness** assesses the achievement of the environmental and developmental objectives as well as the project's outputs in relation to the inputs, costs, and implementing time. It also examines the project's compliance with the application of the incremental cost concept. Cost-effective factors include:

---

<sup>1</sup> Please refer to Council documents on co-financing for definitions, such as GEF/C.20/6. The following page presents a table to be used for reporting co-financing.

- Compliance with the incremental cost criteria (e.g. GEF funds are used to finance a component of a project that would not have taken place without GEF funding.) and securing co-funding and associated funding.
- The project completed the planned activities and met or exceeded the expected outcomes in terms of achievement of Global Environmental and Development Objectives according to schedule, and as cost-effective as initially planned.
- The project used either a benchmark approach or a comparison approach (did not exceed the costs levels of similar projects in similar contexts)

**Monitoring & Evaluation.** Monitoring is the periodic oversight of a process, or the implementation of an activity, which seeks to establish the extent to which inputs, work schedules, other required actions and outputs are proceeding according to plan, so that timely action can be taken to correct the deficiencies detected. Evaluation is a process by which program inputs, activities and results are analyzed and judged explicitly against benchmarks or baseline conditions using performance indicators. This will allow project managers and planners to make decisions based on the evidence of information on the project implementation stage, performance indicators, level of funding still available, etc, building on the project's logical framework.

Monitoring and Evaluation includes activities to measure the project's achievements such as identification of performance indicators, measurement procedures, and determination of baseline conditions. Projects are required to implement plans for monitoring and evaluation with adequate funding and appropriate staff and include activities such as description of data sources and methods for data collection, collection of baseline data, and stakeholder participation. Given the long-term nature of many GEF projects, projects are also encouraged to include long-term monitoring plans that are sustainable after project completion

## ATTACHMENT B: PROJECT RATINGS

| PROJECT COMPONENT OR OBJECTIVE                              | RATING SCALE |   |    |    |   |    | RATING |
|---|--------------|---|----|----|---|----|--------|
|   | HU           | U | MU | MS | S | HS |        |
| <b>PROJECT FORMULATION</b>                                  |              |   |    |    |   |    |        |
| Conceptualization/Design                                    |              |   |    |    |   |    |        |
| Stakeholder participation                                   |              |   |    |    |   |    |        |
| <b>PROJECT IMPLEMENTATION</b>                               |              |   |    |    |   |    |        |
| Implementation Approach                                     |              |   |    |    |   |    |        |
| The use of the logical framework                            |              |   |    |    |   |    |        |
| Adaptive management   |              |   |    |    |   |    |        |
| Use/establishment of information technologies               |              |   |    |    |   |    |        |
| Operational relationships between the institutions involved |              |   |    |    |   |    |        |
| Technical capacities  |              |   |    |    |   |    |        |
| Monitoring and evaluation                                   |              |   |    |    |   |    |        |
| Stakeholder participation                                   |              |   |    |    |   |    |        |
| Production and dissemination of information                 |              |   |    |    |   |    |        |

|  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|
| Local resource users and NGOs participation              |  |  |  |  |  |  |  |
| Establishment of partnerships                            |  |  |  |  |  |  |  |
| Involvement and support of governmental institutions     |  |  |  |  |  |  |  |
| <b>PROJECT RESULTS</b>                                   |  |  |  |  |  |  |  |
| <b>Attainment of Outcomes/ Achievement of objectives</b> |  |  |  |  |  |  |  |
| Achievement of objective                                 |  |  |  |  |  |  |  |
| Outcome 1  |  |  |  |  |  |  |  |
| Outcome 2  |  |  |  |  |  |  |  |
| Outcome .....  |  |  |  |  |  |  |  |
| <b>OVERALL PROJECT ACHIEVEMENT &amp; IMPACT</b>          |  |  |  |  |  |  |  |

## ATTACHMENT C: EVALUATION CONSULTANT CODE OF CONDUCT AGREEMENT FORM

### Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

### Evaluation Consultant Agreement Form<sup>2</sup>

#### Agreement to abide by the Code of Conduct for Evaluation in the UN System

**Name of Consultant:** \_\_\_\_\_

**Name of Consultancy Organization** (where relevant): \_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at (place)on

Signature: \_\_\_\_\_

<sup>2</sup> [www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)