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09 October 2019

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

for individual consultants and individual consultants assigned by consulting firms/institutions

Country:	Viet Nam
Description of the assignment:	An International Consultant and a national consultant for Terminal Evaluation of the project “Local Development and Promotion of LED Technologies for Advanced General Lighting in Viet Nam”
Period of assignment/services (if applicable):	October – December 2019
Duty Station:	Home based and Hanoi with in-country travel
Tender reference:	T190901B

1. Submissions should be sent by email to: luu.thi.trang@undp.org no later than:

23.59 hrs., EXTENDED TO 13 October 2019 (Hanoi time)

With subject line:

T190901A - An International Consultant (Team leader) for Terminal Evaluation of the project “Local Development and Promotion of LED Technologies for Advanced General Lighting in Viet Nam”.

T190901B – A national consultant (Team member) for Terminal Evaluation of the project “Local Development and Promotion of LED Technologies for Advanced General Lighting in Viet Nam”.

Submission received after that date or submission not in conformity with the requirements specified this document will not be considered.

Note:

- Any individual employed by a company or institution who would like to submit an offer in response to this Procurement Notice must do so in their individual capacity, even if they expect their employers to sign a contract with UNDP.
- Maximum size per email is **30 MB**.
- Any request for clarification must be sent in writing, or by standard electronic communication to the address or e-mail indicated above. Procurement Unit – UNDP Viet Nam will respond in writing or by standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.

- After submitting proposal, bidder should send notification by email (without attachment) to: procurement.vn@undp.org informing that the bidder has submitted proposal. UNDP will not be responsible for the missing of proposal if the bidder does not send notification email to above address.
- Female consultants are encouraged to bid for this required service. Preference will be given to equally technically qualified female consultants.

2. Please find attached the relevant documents:

- [Term of References](#)..... (Annex I)
- [Individual Contract & General Conditions](#)..... (Annex II)
- [Reimbursable Loan Agreement](#) (for a consultant assigned by a firm).....(Annex III)
- [Letter to UNDP Confirming Interest and Availability](#)..... (Annex IV)
- [Financial Proposal](#).....(Annex V)

3. Interested individual consultants must submit the following documents/information (in **English, PDF Format**) to demonstrate their qualifications:

a. Technical component:

- Signed Curriculum vitae
- Signed Letter to UNDP Confirming Interest and Availability

b. Financial proposal (with your signature):

- The financial proposal shall specify a total lump sum amount in **VND for national consultant and US dollar for International Consultant** including consultancy fees and all associated costs i.e. airfares, travel cost, meal, accommodation, tax, insurance etc. – see format of financial offer in Annex V.
- Please note that the cost of preparing a proposal and of negotiating a contract, including any related travel, is not reimbursable as a direct cost of the assignment.
- If quoted in other currency, prices shall be converted to the above currency at UN Exchange Rate at the submission deadline.

4. Evaluation

The technical component will be evaluated using the following criteria:

An International Consultant - Team Leader

Consultant(s)' experiences/qualification related to the services		
1	Master's degree in project management, energy efficiency, environmental sciences or relevant fields	150
2	At least ten (10) years of international experience in the areas of project development, project implementation, and project evaluation for donor-funded development projects in developing countries	200
3	Recent experience leading results-based management evaluation of international donor supported project in climate change mitigation, energy efficiency	300

4	Experience working with the GEF or GEF-evaluations; Project evaluation/review experiences within United Nations system will be an asset	150
5	Work experience in climate change mitigation, energy efficiency projects in developing countries in Asia is an advantage	100
6	Demonstrated command over writing professional reports in English.	100
Total		1000

A National Consultant - Team Member

Consultant(s)' experiences/qualification related to the services		
1	Graduate degree in degree in project management, energy efficiency, environmental sciences or relevant fields	150
2	At least five (5) years of experience in the areas of project development, project implementation, and project evaluation for donor-funded development projects in Viet Nam	200
3	Familiarity and past experience with evaluation of donor supported project, especially energy efficiency, climate change mitigation projects.	200
4	Work experience in climate change mitigation for donor-supported projects is an advantage.	150
5	Experience with evaluation of GEF supported project is an asset	100
6	Excellent English skills with evidence through practical experience.	200
Total		1000

A two-stage procedure is utilized in evaluating the submissions, with evaluation of the technical components being completed prior to any price proposals being opened and compared.

The price proposal will be opened only for submissions that passed the minimum technical score of 70% of the obtainable score of 1000 points in the evaluation of the technical component. The technical component is evaluated on the basis of its responsiveness to the Term of Reference (TOR). Maximum 1000 points will be given to the lowest offer and the other financial proposals will receive the points inversely proportional to their financial offers. i.e. $S_f = 1000 \times F_m / F$, in which S_f is the financial score, F_m is the lowest price and F the price of the submission under consideration.

The weight of technical points is 70% and financial points is 30%.

Submission obtaining the highest weighted points (technical points + financial points) will be selected subject to positive reference checks on the consultant's past performance.

Interview with the candidates may be held if deemed necessary.

5. Contract

“Lump-sum” Individual Contract will be applied for freelance consultant (Annex II)

“Lump-sum” RLA will be applied for consultant assigned by firm/institution/organization (Annex III)

Documents required before contract signing:

-
- International consultant whose work involves travel is required to complete the courses on BSAFE which is the new online security awareness training and submit certificate to UNDP before contract issuance.
 - Note: In order to access the courses, please go to the following link: <https://training.dss.un.org>
The training course takes around 3-4 hours to complete.
 - Full medical examination and Statement of Fitness to work for consultants from and above 65 years of age and involve travel. (This is not a requirement for RLA contracts).
 - Release letter in case the selected consultant is government official.

6. Payment

UNDP shall effect payments to the consultant (by bank transfer to the consultant's bank account provided in the vendor form upon acceptance by UNDP of the deliverables specified the TOR.

Payments are based upon outputs, i.e. upon delivery of the products specified in the TOR.

If two currencies exist, UNDP exchange rate will be applied at the day UNDP instructs the bank to effect the payment.

7. Your proposals are received on the basis that you fully understand and accept these terms and conditions.

ANNEX I



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TERMINAL EVALUATION TERMS OF REFERENCE

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the **Local Development and Promotion of LED Technologies for Advanced General Lighting in Viet Nam** (PIMS #:5193)

The essentials of the project to be evaluated are as follows:

PROJECT SUMMARY TABLE

Project Title:	Local Development and Promotion of LED Technologies for Advanced General Lighting in Viet Nam			
GEF Project ID:	5555		<i>At Endorsement (Million US\$)</i>	<i>At completion (Million US\$)</i>
UNDP Project ID:	00092227	GEF financing:	\$ 1,517,400	To be completed upon the commencement of the TE
Country:	Viet Nam	IA/EA own:	\$ 100, 000	"
Region:	Country wide	Government:	\$ 440,000	"
Focal Area:	Inclusive, Equitable and Sustainable Growth	Private Sector:	\$ 6,089,394	"
FA Objectives, (OP/SP):	CCM-1: 1.1 Technologies successfully demonstrated, deployed and transferred CCM-1: 1.2 Enabling policy and mechanisms created for technology transfer systems	Total co-financing:	\$6,629,394	"
Executing Agency:	Viet Nam Academy of Science and Technology (VAST)	Total Project Cost:	\$ 8,146,794	"
Other Partners involved:	Ministries of Construction (MoC), Science and Technology (MoST), Natural Resources and Environment (MoNRE), Ministry of Industry and Trade (MoIT), Planning and Investment (MPI), Local manufacturer (Ralaco, Dien Quaong)	ProDoc Signature (date project began):		June 11, 2015
		(Operational) Closing Date:	Proposed: June 30, 2019	Actual: 30, December 2019

OBJECTIVE AND SCOPE

The project was designed to mitigate GHG emissions through transformation of the lighting market towards greater usage of locally produced LED lighting products in Viet Nam. This objective was to be achieved by

removing barriers to the increased production and utilization of locally produced LED lighting products in Viet Nam through implementation of the following project components.

- Component 1: Transfer of skills, knowledge, and technology in support of local LED lamp manufacturing; and
- Component 2: Demonstration of cost-effective local commercial production of LED lighting devices

The Project was implemented over a 4-year period and promoted and enabled the widespread utilization of LED lamps in Viet Nam. This has reduced electricity generation from fossil fuel-fired power plants, and the estimated direct GHG emission reduction attributable to the project was approximately 0.623 k tonnes CO₂eq by the end of the project. The projected direct post-project GHG emission reductions from LED lamp applications that will be influenced by the project are about 69.38 k tonnes CO₂eq. The estimated potential indirect GHG emission reductions are 5,154 k tonnes CO₂eq (cumulative for a 10-year period after the end of the Project).

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

EVALUATION APPROACH AND METHOD

An overall approach and method¹ for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#). A set of questions covering each of these criteria have been drafted and are included with this TOR ([Annex C](#)). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. Interviews will be held with the following organizations and individuals at a minimum: The TE team is expected to follow a collaborative and participatory approach² ensuring close engagement with the Project Team, government counterparts including Viet Nam Academy of Science and Technology, Ministry of Industry and Trade, Ministry of Construction, the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders including Dien Quang company, Rang Dong Company, and demonstration site owners, etc. The evaluators are expected to conduct a field mission to Viet Nam including the project sites in Hanoi and Ho Chi Minh city.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

¹ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

² For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

Evaluation Ratings:			
1. Monitoring and Evaluation	<i>rating</i>	2. IA& EA Execution	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	<i>rating</i>	4. Sustainability	<i>rating</i>
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	
Environmental Status Impact Improvement			
Environmental Stress Reduction			
Progress towards stress/status change			
Overall Project Results			

PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in energy savings, b) verifiable reductions of GHG emission reduction, and/or c) demonstrated progress towards these impact achievements.³

CONCLUSIONS, RECOMMENDATIONS & LESSONS

³ A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons**. Conclusions should build on findings and be based in evidence. Recommendations should be prioritized, specific, relevant, and targeted, with suggested implementers of the recommendations. Lessons should have wider applicability to other initiatives across the region, the area of intervention, and for the future.

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in Viet Nam. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

EVALUATION TIMEFRAME, DUTY STATION AND EXPECTED PLACES OF TRAVEL

Duration and Timing: Estimated 20 working days for an international consultant and 15 working days for one national consultation during October – December 2019.

The tentative schedule is according to the following plan:

Activity	Timing (international consultant)	Timing (national consultant)	Completion Date
Reviewing documents and Preparation	5 working days	5 working days	20 October 2019
Evaluation Mission	5 working days (tentatively 4 -8 November)	5 working days	8 November 2019
Draft Evaluation Report	7 working days	3 working days	29 November 2019
Final Report	3 working days	2 working days	20 December 2019

Duty station: Home based and Hanoi with in-country travel as required. The international consultant is expected to have 5 working day mission to Hanoi, Viet Nam. In case of in-country travel (if required), local travel cost shall be covered by the project based on UNDP policy or UN-EU cost-norm.

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

#	Deliverable	Content	Timing	Responsibilities
1	TR Inception Report	TR team clarifies timing, objectives and methods of Terminal Review	No later than 2 weeks before the TE mission: (20, October 2019)	TE team submits to the UNDP CO and project team
2	Presentation	Initial Findings	End of TE mission: (8, November 2019)	TE Team presents to project team and the UNDP CO
3	Draft Final Report with Notes of all meetings with stakeholders	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the TE mission: (29 November 2019)	Sent to the UNDP CO, reviewed by CO, project team, RTA, Project Coordinating Unit, GEF OFPs

4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final TE report	Within 1 week of receiving UNDP comments on draft: (20, December 2019)	Sent to UNDP CO for uploading to UNDP ERC
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*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

TEAM COMPOSITION

The evaluation team will be composed of 1 international team lead and 1 national consultant. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The team lead will be responsible for finalizing the report. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Team members must present the following qualifications:

For International Consultant (Team Leader)

- Master's degree in project management, energy efficiency, environmental sciences or relevant fields.
- At least ten (10) years of international experience in the areas of project development, project implementation, and project evaluation for donor-funded development projects in developing countries.
- Recent experience in leading results-based management evaluation management evaluation for international donor supported projects in climate change mitigation, energy efficiency
- y; Experience working with the GEF or GEF-evaluations; Project evaluation/review experiences within United Nations system will be an asset;
- Work experience in climate change mitigation, energy efficiency projects in developing countries in Asia is an advantage;
-
- Good interpersonal and analytical skills and ability to work under diverse/varied cultural environments;
- Demonstrated command over writing professional reports in English.

Specifically, the international expert (team leader) will perform the following tasks:

- Lead and manage the evaluation mission; Guide the national expert in collecting data and information and preparation of relevant sections in the report
- Design the detailed evaluation scope and methodology (including the methods for data collection and analysis);
- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above);
- Draft related parts of the evaluation report; and
- Finalize the entire evaluation report.

For National Consultant (Team member)

- Graduate degree in degree in project management, energy efficiency, environmental sciences or relevant fields
- At least five (5) years of experience in the areas of project development, project implementation, and project evaluation for donor-funded development projects in Viet Nam;
- Familiarity and past experience with evaluation of international donor supported projects, especially energy efficiency, climate change mitigation projects;
- Work experience in climate change mitigation for donor-supported projects is an advantage
- Experience with evaluation of GEF supported projects is an asset

-
- Good interpersonal and analytical skills and ability to work under diverse/varied cultural environments;
 - Excellent English skills with evidence through practical experience.

Specifically, the national expert will perform the following tasks:

- Documentation of evaluation and data gathering and consultation meetings;
- Contributing to the development of evaluation plan and methodology;
- Conducting specific elements of the evaluation determined by the International Lead Consultant;
- Contributing to presentation of the evaluation findings and recommendations at the evaluation wrap-up meeting;
- Contributing to the drafting and finalization of the TE reports, notes of the meetings and other related documents prepared by the international consultant
- Performing translation for the international consultants during meetings with various stakeholders and necessary documents discussed during the international consultant's mission.

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
60%	Following submission and approval of the 1ST draft terminal evaluation report
40%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report and all products under the contract

APPLICATION PROCESS

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. **Qualified women and members of social minorities are encouraged to apply.**

ANNEX A: PROJECT LOGICAL FRAMEWORK

Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): 1. Mainstreaming environment and energy OR 2. Catalyzing environmental finance OR 3. Promote climate change adaptation OR 4. Expanding access to environmental and energy services for the poor.
Applicable GEF Strategic Objective and Program: GEF-5 CCM Strategic Program SP1: Promote the demonstration, deployment, and transfer of innovative low-carbon technologies
Applicable GEF Expected Outcomes: Technologies successfully demonstrated, deployed, and transferred; enabling policy environment and mechanisms created for technology transfer; and GHG emissions avoided
Applicable GEF Outcome Indicators: Percentage of technology demonstrations reaching its planned goals; extent to which policies and mechanisms are adopted for technology transfer; and tonnes of CO ₂ equivalent avoided

Outcomes	Indicator	Baseline	Targets	Means of Verification	Critical Assumptions
Project Objective: ⁴ Mitigation of GHG emissions through transformation of the lighting market towards greater usage of locally-produced LED lighting products in Viet Nam	<ul style="list-style-type: none"> Cumulative direct and indirect CO₂ emission reductions resulting by EOP, tons CO₂ Cumulative direct and indirect energy saving (MWh) by EOP 	<ul style="list-style-type: none"> negligible⁵ negligible⁶ 	<ul style="list-style-type: none"> 623 ⁷ 69,382 ⁸ 1,000 ⁹ 3,000 ¹⁰ 	<ul style="list-style-type: none"> Project final report as well as annual surveys of LED energy consumption Project final report as well as annual surveys of energy consumption & reductions for LED usage 	<ul style="list-style-type: none"> Economic recovery of the country will continue that would enhance the ability of most households to afford the purchase of LED lighting devices
Outcome 1: ¹¹ Development of a local LED industry that provides locally produced quality LED lamps that are increasingly in demand by local consumers	<ul style="list-style-type: none"> Number of LED lamp manufacturing plants that have advanced manufacturing to produce LED lamps that meet new VN standards for LED lamps by EOP 	<ul style="list-style-type: none"> 0 	<ul style="list-style-type: none"> 2¹² 	<ul style="list-style-type: none"> Official documentation on LED lighting policies Official study that overviews the current LED manufacturing operations and required actions to improve LED production with 	<ul style="list-style-type: none"> Continued government support for strengthening current LED legal framework as well as regulations, standards and codes

⁴ Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

⁵ Negligible due to poor quality LEDs resulting in few if any emission reductions

⁶ Ibid 2

⁷ Direct ERs from direct investments and generated during the Project period

⁸ Post-project direct ERs (cumulative 10 yrs. after EOP) from direct investments + ERs (cumulative 10 years after EOP) from locally manufactured LED lamps installed after EOP that received TA during Project period in Yrs. 3 and 4

⁹ Includes direct energy savings of 705 MWh from indoor demos and 293 MWh from outdoor demos

¹⁰ Assumes a replication factor of 3 to be realized during the Project duration

¹¹ All outcomes monitored annually in the APR/PIR.

¹² VN Schreder is not included in the targets.

Outcomes	Indicator	Baseline	Targets	Means of Verification	Critical Assumptions
	<ul style="list-style-type: none"> Number of retailers that sell locally labeled LED lighting products by EOP Number of LED lighting products that are standardized by Year 3 and EOP Number of new LED lighting products that are labeled by Year 3 	<ul style="list-style-type: none"> 0 0 0 	<ul style="list-style-type: none"> 200 6¹³ 4 	<ul style="list-style-type: none"> new LED manufacturing technology Official monitoring and evaluation document on new LED manufacturing facilities Data from LED manufacturers on sales of LEDs to retailing outlets Training assessments and feedback from participants 	<ul style="list-style-type: none"> Sustained efforts by Government to enforce new standards that would result in the reduced availability of imported sub-standard and less costly LEDs in Viet Nam
Outcome 2: Increased use and deployment of locally-produced high-quality LED lighting technologies.	<ul style="list-style-type: none"> % rural and urban households and commercial establishments that have purchased locally produced LED lamps by EOP Annual number of sold LED lamps that are locally produced and certified LED lights in Viet Nam by EOP for the local lighting market % of market share of locally produced LED lamps in the Vietnamese lighting market by EOP 	<ul style="list-style-type: none"> <1 1.3 million¹⁴ <1 	<ul style="list-style-type: none"> 10¹⁵ 15 million¹⁶ 7 	<ul style="list-style-type: none"> Demonstration project reports LED market survey reports Monitoring reports on energy consumption and energy savings 	<ul style="list-style-type: none"> Willingness of existing lighting manufacturers to embrace new LED manufacturing technologies is assured Households and commercial establishments provide information on numbers of LEDs purchased Willingness of local LED manufacturers to disclose sales LED sales information

¹³ 4 indoor lamps and 2 outdoor lamps

¹⁴ Estimated based on data from Ralaco in 2013

¹⁵ To be determined through completion of a statistical survey as a part of Output 1.1

¹⁶ This is the annual sales of LED lamps in Year 4. See Annex IV for annual targets for the duration of the Project

ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

1. Project Identification Form
2. UNDP Project Document
3. Project Inception Report
4. All Project Implementation Reports (PIR's)
5. Quarterly progress reports and work plans of the various implementation task teams
6. Audit reports
7. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm (*climate change mitigation*)
8. Oversight mission reports, Minutes of the Project Board Meetings and other meetings
9. All monitoring reports prepared by the project
10. Financial and Administration guidelines used by Project Team
11. Technical reports of key activities/results by the project

The following documents will also be available:

12. Project operational guidelines, manuals and systems
13. UNDP country/countries programme document(s)
14. Project site location maps
15. Guidance for conducting mid-term reviews of UNDP-supported, GEF-financed projects
16. [UNDP Evaluation Policy](#)
17. UNEG Norms and Standards for Evaluation
18. UNEG Code of Conduct for Evaluation in the UN System
19. UNEG Ethical Guidelines for Evaluation
20. UNDP Viet Nam Policy on Gender-Responsive Evaluation

ANNEX C: EVALUATION QUESTIONS

This is a generic list, to be further detailed with more specific questions by the evaluation team, CO and UNDP GEF Technical Adviser during the inception phase of the TE.

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
•	•	•	•
•	•	•	•
•	•	•	•
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
•	•	•	•
•	•	•	•
•		•	•
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
•	•	•	•
•	•	•	•
•	•	•	•
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
•	•	•	•
•	•	•	•
•	•	•	•
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
•	•	•	•
•	•	•	•

ANNEX D: RATING SCALES

<i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</i> 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems	<i>Sustainability ratings:</i> 4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	<i>Relevance ratings</i> 2. Relevant (R) 1.. Not relevant (NR) <i>Impact Ratings:</i> 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
<i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A)		

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND 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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form¹⁷

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.

¹⁷www.unevaluation.org/unegcodeofconduct

Signed at _____ (*place*) on _____ (*date*)

Signature: _____

ANNEX F: EVALUATION REPORT OUTLINE¹⁸

- i. Opening page:
 - Title of UNDP supported GEF financed project
 - UNDP and GEF project ID#s.
 - Evaluation time frame and date of evaluation report
 - Region and countries included in the project
 - GEF Operational Program/Strategic Program
 - Implementing Partner and other project partners
 - Evaluation team members
 - Acknowledgements
- ii. Executive Summary
 - Project Summary Table
 - Project Description (brief)
 - Evaluation Rating Table
 - Summary of conclusions, recommendations and lessons
- iii. Acronyms and Abbreviations
(See: UNDP Editorial Manual¹⁹)
1. Introduction
 - Purpose of the evaluation
 - Scope & Methodology
 - Structure of the evaluation report
2. Project description and development context
 - Project start and duration
 - Problems that the project sought to address
 - Immediate and development objectives of the project
 - Baseline Indicators established
 - Main stakeholders
 - Expected Results
3. Findings
(In addition to a descriptive assessment, all criteria marked with (*) must be rated²⁰)
- 3.1 Project Design / Formulation
 - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
 - Planned stakeholder participation
 - Replication approach
 - UNDP comparative advantage
 - Linkages between project and other interventions within the sector
 - Management arrangements
- 3.2 Project Implementation
 - Adaptive management (changes to the project design and project outputs during implementation)
 - Partnership arrangements (with relevant stakeholders involved in the country/region)
 - Feedback from M&E activities used for adaptive management
 - Project Finance:
 - Monitoring and evaluation: design at entry and implementation (*)
 - UNDP and Implementing Partner implementation / execution (*) coordination, and

¹⁸The Report length should not exceed 40 pages in total (not including annexes).

¹⁹ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

²⁰ Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

-
- operational issues
- 3.3** Project Results
- Overall results (attainment of objectives) (*)
 - Relevance(*)
 - Effectiveness & Efficiency (*)
 - Country ownership
 - Mainstreaming
 - Sustainability (*)
 - Impact
- 4.** Conclusions, Recommendations & Lessons
- Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives
 - Best and worst practices in addressing issues relating to relevance, performance and success
- 5.** Annexes
- ToR
 - Itinerary
 - List of persons interviewed
 - Summary of field visits
 - List of documents reviewed
 - Evaluation Question Matrix
 - Questionnaire used and summary of results
 - Evaluation Consultant Agreement Form
 - *Annexed in a separate file:* TE Audit Trail
 - *Annexed in a separate file:* Terminal GEF Tracking Tool (if applicable)

ANNEX G: EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____

To the comments received on _____ (date) from the Terminal Evaluation of the Local

Development and Promotion of LED Technologies for Advanced General Lighting in Viet Nam (UNDP PIMS #5193)

The following comments were provided in track changes to the draft Terminal Evaluation report; they are referenced by institution ("Author" column) and by comment number ("#" column):

Author	#	Para No./ comment location	Comment/Feedback on the draft TE report	Evaluator response and actions taken

EVALUATION CRITERIA WITH ASSIGNED SCORES
International Consultant

Consultant(s)' experiences/qualification related to the services		
1	Master's degree in project management, energy efficiency, environmental sciences or relevant fields	150
2	At least ten (10) years of international experience in the areas of project development, project implementation, and project evaluation for donor-funded development projects in developing countries	200
3	Recent experience leading results-based management evaluation of international donor supported project in climate change mitigation, energy efficiency	300
4	Experience working with the GEF or GEF-evaluations; Project evaluation/review experiences within United Nations system will be an asset	150
5	Work experience in climate change mitigation, energy efficiency projects in developing countries in Asia is an advantage	100
6	Demonstrated command over writing professional reports in English.	100
Total		1000

National Consultant

Consultant(s)' experiences/qualification related to the services		
1	Graduate degree in degree in project management, energy efficiency, environmental sciences or relevant fields	150
2	At least five (5) years of experience in the areas of project development, project implementation, and project evaluation for donor-funded development projects in Viet Nam	200
3	Familiarity and past experience with evaluation of donor supported project, especially energy efficiency, climate change mitigation projects.	200
4	Work experience in climate change mitigation for donor-supported projects is an advantage.	150
5	Experience with evaluation of GEF supported project is an asset	100
6	Excellent English skills with evidence through practical experience.	200
Total		1000

ANNEX IV

OFFEROR'S LETTER TO UNDP CONFIRMING INTEREST AND AVAILABILITY FOR THE INDIVIDUAL CONTRACTOR (IC) ASSIGNMENT

Date _____

(Name of Resident Representative/Bureau Director)

United Nations Development Programme

(Specify complete office address)

Dear Sir/Madam:

I hereby declare that:

- A) I have read, understood and hereby accept the Terms of Reference describing the duties and responsibilities of [*indicate title of assignment*] under the [*state project title*];
- B) I have also read, understood and hereby accept UNDP's General Conditions of Contract for the Services of the Individual Contractors;
- C) I hereby propose my services and I confirm my interest in performing the assignment through the submission of my CV which I have duly signed and attached hereto as Annex 1;
- D) In compliance with the requirements of the Terms of Reference, I hereby confirm that I am available for the entire duration of the assignment, and I shall perform the services in the manner described in my proposed approach/methodology which I have attached hereto as Annex 3 [*delete this item if the TOR does not require submission of this document*];
- E) I hereby propose to complete the services based on the following payment rate: [*please check the box corresponding to the preferred option*]:
 - ☐ An all-inclusive daily fee of [*state amount in words and in numbers indicating currency*]
 - ☐ A total lump sum of [*state amount in words and in numbers, indicating exact currency*], payable in the manner described in the Terms of Reference.
- F) For your evaluation, the breakdown of the abovementioned all-inclusive amount is attached hereto as Annex V;
- G) I recognize that the payment of the abovementioned amounts due to me shall be based on my delivery of outputs within the timeframe specified in the TOR, which shall be subject to UNDP's review, acceptance and payment certification procedures;
- H) This offer shall remain valid for a total period of _____ days [*minimum of 90 days*] after the submission deadline;

I) I confirm that I have no first degree relative (mother, father, son, daughter, spouse/partner, brother or sister) currently employed with any UN agency or office *[disclose the name of the relative, the UN office employing the relative, and the relationship if, any such relationship exists];*

J) If I am selected for this assignment, I shall *[please check the appropriate box]:*

- ☐ Sign an Individual Contract with UNDP;
- ☐ Request my employer *[state name of company/organization/institution]* to sign with UNDP a Reimbursable Loan Agreement (RLA), for and on my behalf. The contact person and details of my employer for this purpose are as follows:

K) I hereby confirm that *[check all that applies]:*

- ☐ At the time of this submission, I have no active Individual Contract or any form of engagement with any Business Unit of UNDP;
- ☐ I am currently engaged with UNDP and/or other entities for the following work:

Assignment	Contract Type	UNDP Business Unit / Name of Institution/Company	Contract Duration	Contract Amount

- ☐ I am also anticipating conclusion of the following work from UNDP and/or other entities for which I have submitted a proposal:

Assignment	Contract Type	Name of Institution/ Company	Contract Duration	Contract Amount

L) I fully understand and recognize that UNDP is not bound to accept this proposal, and I also understand and accept that I shall bear all costs associated with its preparation and submission and that UNDP will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the selection process.

M) *If you are a former staff member of the United Nations recently separated, please add this section to your letter:* I hereby confirm that I have complied with the minimum break in service required before I can be eligible for an Individual Contract.

N) I also fully understand that, if I am engaged as an Individual Contractor, I have no expectations nor entitlements whatsoever to be re-instated or re-employed as a staff member.

O) Are any of your relatives employed by UNDP, any other UN organization or any other public international organization?

YES ☐ NO ☐ If the answer is "yes", give the following information:

Name	Relationship	Name of International Organization
------	--------------	------------------------------------

P) Do you have any objections to our making enquiries of your present employer?

YES ☐ NO ☐

Q) Are you now, or have you ever been a permanent civil servant in your government's employ?

YES ☐ NO ☐ If answer is "yes", WHEN?

R) REFERENCES: List three persons, not related to you, who are familiar with your character and qualifications.

Full Name	Full Address	Business or Occupation

S) Have you been arrested, indicted, or summoned into court as a defendant in a criminal proceeding, or convicted, fined or imprisoned for the violation of any law (excluding minor traffic violations)?

YES ☐ NO ☐ If "yes", give full particulars of each case in an attached statement.

I certify that the statements made by me in answer to the foregoing questions are true, complete and correct to the best of my knowledge and belief. I understand that any misrepresentation or material omission made on a Personal History form or other document requested by the Organization may result in the termination of the service contract or special services agreement without notice.

DATE: _____

SIGNATURE: _____

NB. You will be requested to supply documentary evidence which support the statements you have made above. Do not, however, send any documentary evidence until you have been asked to do so and, in any event, do not submit the original texts of references or testimonials unless they have been obtained for the sole use of UNDP.

Annexes *[please check all that applies]:*

- ☐ CV shall include Education/Qualification, Professional Certification, Employment Records /Experience
- ☐ Breakdown of Costs Supporting the Final All-Inclusive Price as per Template

GUIDELINES FOR CV PREPARATION

WE REQUEST THAT YOU USE THE FOLLOWING CHECKLIST WHEN PREPARING Your CV:

Limit the CV to 3 or 4 pages

NAME (First, Middle Initial, Family Name)

Address:

City, Region/State, Province, Postal Code

Country:

Telephone, Facsimile and other numbers

Internet Address:

Sex, Date of Birth, Nationality, Other Citizenship, Marital Status

Company associated with (if applicable, include company name, contact person and phone number)

SUMMARY OF EXPERTISE

Field(s) of expertise (be as specific as possible)

Particular development competencies-thematic (e.g. Women in Development, NGOs, Privatization, Sustainable Development) or technical (e.g. project design/evaluation)

Credentials/education/training, relevant to the expertise

LANGUAGES

Mother Tongue:

Indicate written and verbal proficiency of your English:

SUMMARY OF RELEVANT WORK EXPERIENCE

Provide an overview of work history in reverse chronological order. Provide dates, your function/title, the area of work and the major accomplishments include honorarium/salary.

References (name and contact email address) must be provided for each assignment undertaken by the consultant that UNDP may contact.

UN SYSTEM EXPERIENCE

If applicable, provide details of work done for the UN System including WB. Provide names and email address of UN staff who were your main contacts. Include honorarium/salary.

UNIVERSITY DEGREES

List the degree(s) and major area of study. Indicate the date (in reverse chronological order) and the name of the institution where the degree was obtained.

PUBLICATIONS

Provide total number of Publications and list the titles of 5 major publications (if any)

MISCELLANEOUS

Indicate the minimum and maximum time you would be available for consultancies and any other factors, including impediments or restrictions that should be taken into account in connection with your work with this assignment.

Annex V

FINANCIAL OFFER

Having examined the Solicitation Documents, I, the undersigned, offer to provide all the services in the TOR for the sum of (VND for National Consultant; USD for international Consultant).

This is a lump sum offer covering all associated costs for the required service (fee, meal, accommodation, travel, taxes etc).

Cost breakdown:

No.	Description	Quantity	Unit Rate	Total
1	Consultancy fee			
2	Out of pocket expenses			
2.1	Travel			
2.2	Per diem			
2.3	Full medical examination and Statement of Fitness to work for consultants from and above 65 years of age and involve travel – (required before issuing contract).			
2.5	Others (pls. specify)			
	TOTAL			

** Individual Consultants/Contractors who are over 65 years of age with assignments that require travel and are required, **at their own cost**, to undergo a full medical examination including x-rays and obtaining medical clearance from **an UN-approved doctor** prior to taking up their assignment.*

I undertake, if my proposal is accepted, to commence and complete delivery of all services specified in the contract within the time frame stipulated.

I agree to abide by this proposal for a period of 120 days from the submission deadline of the proposals.

Dated this day /month of year

Signature

(The costs should only cover the requirements identified in the Terms of Reference (TOR) Travel expenses are not required if the consultant will be working from home).