

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE



Date: 29 November 2019

Country: Bangkok, Thailand

Description of the assignment: UNDP-GEF Midterm Review Term of Reference (National MTR Consultant)

Duty Station: Home-based with four domestic missions in Thailand to project sites, Chiangmai, Samui, Khon Kaen and Nakorn Ratchasima

Project name: UNDP Thailand

Period of assignment/services (if applicable): The total duration of the MTR will be approximately 25 working days starting on/about 2 January 2019 until 15 March 2020.

Proposal should be submitted no later than **13 December 2019**

Please click on the link below to apply: https://jobs.undp.org/cj_view_job.cfm?cur_job_id=88960

1. BACKGROUND

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *full* -sized project titled *Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand (PIM 4778)*, implemented by the *United Nations Development Programme*. The project was started on *26 April 2017* and is in its *third* year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* ([Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#)).

PROJECT BACKGROUND INFORMATION

Thailand's 12th National Economic and Social Development Plan (2017-2021) sets a vision in moving Thailand towards a low carbon and climate resilient society and promotes sustainable economic

and social growth that is environmentally friendly. Important steps have been taken to pave the way for low carbon and climate resilient society, but local authorities especially municipalities are faced with a range of challenges on low carbon urban development. Rapid economic development, urbanization and climate change pose a threat to the management of municipalities/cities in a sustainable way. In support of the Royal Thai Government and the local administration, UNDP Thailand designed a country-led intervention on strengthening the capacities and processes at local level for bottom-up integrated low carbon development planning and the sustainable management of low carbon development projects.

The Achieving Low Carbon Growth in Cities through sustainable Urban Systems Management in Thailand (LCC) Project aims to strengthen the capacities and processes at local level for bottom-up integrated low carbon development planning and the implementation and sustainable management of low carbon development projects. The 4-year project (2016-2020) focuses on low carbon urban systems, in particular waste management and sustainable transport, in 4 cities, while experiences will be shared with other cities to learn from.

The project objective is to “promote sustainable urban systems management in selected cities to achieve low carbon growth.” The objective will be achieved by removing barriers to adoption of low carbon development in cities in Thailand through the following components:

- a) Low carbon sustainable urban development planning in 4 cities, which will enable them to formulate and implement low carbon sustainable urban development plans
- b) Low carbon investments in 4 cities leading to more energy efficient urban systems
- c) Financial incentives and institutional arrangements to increase volume of investments in energy efficient urban systems by government and private sector

The project is financially supported by the Global Environment Facility (GEF), with the Thailand Greenhouse Gas Management Organization (TGO) Public Organization, as the Implementing Partner. The total GEF-supported funding is US\$ 3,150,000.

2. OBJECTIVE, SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED ANALYTICAL WORK

Objective:

The MTR 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.

MTR APPROACH AND METHODOLOGY

The MTR must provide evidence based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy,

the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to (list); executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Engagement of stakeholders is vital to a successful MTR.¹ Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to **Bangkok, Koh Samui, Chiang Mai, Khon Kaen and Nakorn Ratchasima** and have consultations with the following on-site organizations.

- 1) Thailand Greenhouse Gas Management Organization (TGO) Public Organization
- 2) United Nations Development Programme Thailand
- 3) Koh Samui Municipality
- 4) Chiangmai Municipality
- 5) Bright Management Consulting
- 6) School of Public Policy, Chiang Mai University
- 7) Khon Kaen Municipality
- 8) College of Local Administration, Khon Kaen University
- 9) Nakorn Ratchasima Municipality
- 10) Chulalongkorn University
- 11) Other project consultants and local counterparts as appropriate

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

DETAILED SCOPE OF THE MTR

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. Project Strategy

¹ For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ²	Baseline Level ³	Level in 1 st PIR (self-reported)	Midterm Target ⁴	End-of-project Target	Midterm Level & Assessment ⁵	Achievement Rating ⁶	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

² Populate with data from the Logframe and scorecards

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)

³ Populate with data from the Project Document

⁴ If available

⁵ Colour code this column only

⁶ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.⁷

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR team should make no more than 15 recommendations total.

Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table for (*Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand (PIM 4778)*,)

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

⁷ Alternatively, MTR conclusions may be integrated into the body of the report.

3. REQUIREMENTS FOR EXPERIENCE AND QUALIFICATIONS

TEAM COMPOSITION

A team of two independent consultants will conduct the MTR – one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team local expert, from Thailand. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

National Consultant

Profile

- At least a Master's degree in urban planning, environmental studies, social development, public policy, environmental studies, and/ or other related fields.
- Minimum of five (5) years of supporting project evaluation and/or implementation experience using the result-based management framework and adaptive management.
- 1 year experience Thailand national and local development policies, programs and projects related to low carbon development, energy, and climate change, and public administration process
- Some project management experience in urban management, urban climate resilience, energy, waste management, transport management, low carbon development will be an advantage.
- Proven evaluation skills, including conducting interviews, focus group discussions, desktop research, qualitative and quantitative analysis.
- Excellent command of English and Thai, both writing and speaking. Some knowledge of UNDP or GEF Monitoring and Evaluation Policy will be an advantage.

Responsibilities

- Documentation review and data gathering
- Contributing to the development of the review plan and methodology
- Conducting those elements of the evaluation as determined jointly with the international consultant and UNDP
- Contributing to the interviews, meetings during the onsite evaluation
- Contributing to presentation of the review findings and recommendations at the wrap-up meeting
- Contributing to the drafting and finalization of the review report

4. DURATION OF ASSIGNMENT, DUTY STATION AND EXPECTED PLACES OF TRAVEL

Duration of the Assignment:

The total duration of the MTR will be approximately 25 working days starting on/about 2 January 2019 until 15 March 2020.

Duty Station: Home-based with four domestic missions in Thailand to project sites, Chiangmai, Samui, Khon Kaen and Nakorn Ratchasima and series of meetings with project counterparts in Bangkok. The tentative TE timeframe is as follows:

TIMEFRAME	ACTIVITY
3-13 December 2019	Advertisement for consultants
13 December 2019	Application closed
16-20 December 2019	Select MTR Team
2 January 2020	Contract begins Preparation for the MTR Team (handover of Project Documents)
2-6 January 2020 (4 days)	Project Document Review Submit MTR Inception Report to UNDP for review
6 January 2020 (0 day)	Finalization of the MTR Inception Report and re-submit to UNDP.
12 January 2020	Arrival in Bangkok of International Evaluation Team Lead
13 January 2020-22 January 2020 (11 days)	Inception meeting at UNDP Country Office Meeting with TGO and team and other stakeholders in Bangkok. MTR mission: stakeholder meetings, interviews and field visits
23 January 2020 (1 day)	Mission wrap-up meeting & presentation of initial findings-earliest end of MTR mission
31 January -4 February 2020 (5 days)	Preparing draft report and draft MTR report submission
5 February 2020 (0 day for consultant)	Circulation of draft report with draft management response template for comments and completion
21-25 February 2020 (4 days)	Incorporating audit trail from feedback on draft report/Finalization of MTR report
28 February 2020	Submission MTR final report
15 March 2020	Expected date of full MTR completion

5. FINAL PRODUCTS

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR team clarifies objectives and methods of Midterm Review	6 January 2020	MTR team submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	23 January 2020	MTR Team presents to project management and the Commissioning Unit
3	Draft Final MTR Report	Full report (using guidelines on content outlined in Annex B) with annexes	4 February 2020	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final MTR Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	28 February 2020	Sent to the Commissioning Unit

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

6. PROVISION OF MONITORING AND PROGRESS CONTROLS

Institutional Arrangement:

The principal responsibility for managing this MTR resides with the Commissioning Unit (UNDP Thailand Country Office). The Commissioning Unit for this project's MTR is UNDP Thailand Country Office.

The commissioning unit will contract the consultants and ensure the timely provision of the travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

7. DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS.

Documents to be included when submitting the proposals:

Document to be included when Submitting the Proposals:

Interested individual consultants must submit the following document's information to demonstrate their qualifications; Please group them into one(1) single PDF document as the application only allows to upload maximum on document:

a) Letter of Confirmation of Interest and Availability and Financial Proposal using the template provided by UNDP

b) CV indicating all past experiences from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references.

c) Brief description of approach to work/technical proposal of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)

d) Financial Proposal that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc.), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

8. FINANCIAL PROPOSAL

PRICE PROPOSAL AND SCHEDULE OF PAYMENT MODALITIES AND SPECIFICATIONS

Consultant must send a financial proposal based on Lump Sum Amount. The total amount quoted shall be all-inclusive and include all costs components required to perform the deliverables identified in the TOR, including professional fee, travel costs, living allowance (if any work is to be done outside the IC's duty station) and any other applicable cost to be incurred by the IC in completing the assignment. The contract price will be fixed output-based price regardless of extension of the herein specified duration. Payments will be done upon completion of the deliverables/outputs and as per below percentages:

%	Milestone
10%	Following submission and approval of Inception Report
40%	Following submission and approval of the draft MTR report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final MTR report

In general, UNDP shall not accept travel costs exceeding those of an economy class ticket. Should the IC wish to travel on a higher class he/she should do so using their own resources

In the event of unforeseeable travel not anticipated in this TOR, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon, between the respective business unit and the Individual Consultant, prior to travel and will be reimbursed. Travel costs shall be reimbursed at actual but not exceeding the quotation from UNDP approved travel agent. The provided living allowance will not be exceeding UNDP Living Allowance rates.

9. EVALUATION

Criteria for Selection of the Best Offer:

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

Only candidates obtaining a minimum of 70% of the total technical points would be considered for the Financial Evaluation. 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.

Evaluation criteria:

Criteria	Weight	Max. Point
Technical	70%	700
Master's Degree in environment, engineering, technology, climate change, environmental science, economics, sustainable development or related fields	20%	200
Minimum of five (5) years of supporting project evaluation and/or implementation experience using the result-based management framework and adaptive management.	15%	150
1 year experience Thailand national and local development policies, programs and projects related to low carbon development, energy, and climate change, and public administration process	15%	150
Proven evaluation skills, including conducting	10%	100

interviews, focus group discussions, desktop research, qualitative and quantitative analysis		
Competency in Brief description of approach to work/technical proposal.	10%	100
Financial	30%	300

All application materials must be submitted to UNDP by 13 December 2019. Short-listed candidates may be contacted and the successful candidate will be notified.

ANNEXES

Annex I - General Condition of Contract

Annex II- TOR_UNDP-GEF Midterm Review Term of Reference (National MTR)

Annex III - Offerors Letter to UNDP Confirming Interest and Availability and Financial Proposal

All documents can be downloaded at : http://procurement-notices.undp.org/view_notice.cfm?notice_id=61718