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6 February 2020

INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	01 international consultant and 01 national consultant to conduct a terminal evaluation of the Viet Nam POPs and Sound Harmful Chemicals Management Project International Consultant: 23 working days National Consultant: 15 working days
Period of assignment/services (if applicable):	February – April 2020
Duty Station:	Homebased and travel to provinces (Vietnam)
Tender reference:	A-200201

1. Submissions should be sent by **email** to: quach.thuy.ha@undp.org no later than:

23.59 hrs., Thursday 20 February 2020 (Hanoi time)

With subject line:

A-200201-1 Intl Consultant for terminal evaluation of POPs and Harmful Chemicals

A-200201-2 Nat Consultant for terminal evaluation of POPs and Harmful Chemicals

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
- Copy of 1-3 publications/writing samples on relevant subject.
- Letter of Introduction
- Reference contacts of past 4 clients for whom you have rendered preferably the similar service (including name, title, email, telephone number, address...)

b. Financial proposal (with your signature):

- The financial proposal shall specify a total lump sum amount in **Vietnamese dong 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:

International Consultant

	Consultant’s experiences/qualification related to the service	Points
1	Recent experience with result-based management evaluation methodologies	150

2	Experience applying SMART indicators and reconstructing or validating baseline scenarios	100
3	Competence in adaptive management, as applied to POPs and chemical management	100
4	Experience working with the GEF or GEF-evaluations is an advantage	50
5	Experience working in Asia is an advantage	100
6	Work experience in relevant technical areas for at least 10 years	100
7	Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender sensitive evaluation and analysis.	100
8	Demonstrable analytical and report-writing skills	100
9	Project evaluation/review experiences within United Nations system will be considered an asset	100
10	A Master's degree in chemical engineering, environment, or other closely related field	100
TOTAL		1,000

National Consultant

	Consultant's experiences/qualification related to the service	Points
1	Recent experience with result-based management evaluation methodologies	150
2	Experience applying SMART indicators and reconstructing or validating baseline scenarios	100
3	Competence in adaptive management, as applied to POPs and chemical management	100
4	Experience working with the GEF or GEF evaluations as an asset	50
5	Excellent English language abilities, written with two writing samples submitted	100
6	Work experience in relevant technical areas for at least 10 years	100
7	Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender sensitive evaluation and analysis.	100
9	Demonstrable analytical skills	100
10	Project evaluation/review experiences within United Nations system will be considered an asset	100
11	A Master's degree in chemical engineering, environment, or other closely related field	100
TOTAL		1,000

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.

TERMS OF REFERENCE

TERMS OF REFERENCE

Position:	01 international consultant and 01 national consultant to conduct a terminal evaluation of the <i>Viet Nam POPs and Sound Harmful Chemicals Management Project</i>
Duty Station:	Hanoi and provinces (if travel is required)
Type of appointment:	Individual contract
Duration:	International consultant: 23 days (completed by 1 June 2020) National consultant: 15 days (completed by 1 June 2020)
Reporting to:	UNDP Viet Nam & PMU
Application deadline:	10 th February 2020

PROJECT SUMMARY TABLE

GEF Project ID:	PIMS5154		<i>At endorsement (Million US\$)</i>	<i>At completion (Million US\$)</i>
UNDP Project ID:	00091381	GEF financing:	USD 2,550,000	
Country:	Vietnam	IA/EA own:		
Region:		Government:	USD 8,050,000	
Focal Area:	Inclusive, Equitable and Sustainable Growth	Other (JICA):	USD 3,000,000	
FA Objectives, (OP/SP):		Total co-financing:	USD 11,050,000	
Executing Agency:	VEA/MONRE	Total project cost:	USD 13,600,000	
Other Partners involved:	VINACHEMIA/MOIT	ProDoc Signature (date project began):		January 29, 2016
		(Operational) Closing Date:	<i>Proposed:</i> Dec. 2018	<i>Actual:</i> July 29, 2020

INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Terminal Evaluation (TE) of the full-sized project titled **Viet Nam POPs and Sound Harmful Chemicals Management Project**, implemented through the Vietnam Environment Administration (VEA)/Ministry of Natural Resources and Environment (MONRE) as the UNDP's National Implementing Partner (NIP) and the Vietnam Chemicals Agency (VINACHEMIA)/Ministry of Industry and Trade (MOIT) as the UNDP's Co-Implementing Partner (CIP), which has been undertaken from 2016-2020.

This ToR sets out the expectations for this TE. The TE process must follow the guidance outlined in the document *Guidance For Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects*.¹

The project was designed to continue the reduction of environmental and health risks through the reduction of POPs and harmful chemicals being released, achieved by (1) **provision of an integrated institutional and regulatory framework** covering the management and reporting of POPs and harmful chemicals within a national sound chemicals management framework, and (2) **targeted development of POPs-contaminated site management capacity**, building on experience from GEF-4 projects and specifically a management plan at the provincial level to assess risk and implement release reduction measures at all the POPs-contaminated sites in two provinces.

The **specific project objectives** are:

1. Strengthen national capacity on the safe management of POPs and harmful chemicals;
2. Control and reduce the release of POPs/PTS into the environment from POPs/PTS-contaminated sites; and
3. Perform a preliminary inventory of mercury sources and draft a roadmap on mercury reduction.

In order to achieve the project objectives, **four project components** are envisaged:

- **Component 1.** Policy framework for sound chemicals management, including POPs/PTS, developed and implemented.
- **Component 2.** Monitoring and reporting of POPs and PTS.
- **Component 3.** Management of POPs-contaminated sites
- **Component 4.** National mercury baseline inventory and release reduction.

PROJECT ARRANGEMENT

- **The project is financed with funding from the GEF and UNDP acts as the GEF Implementing Agency.** In the context of the UNDP, the project will be executed by MONRE, which will assume the overall responsibility for the achievement of project results as the UNDP's National Implementing Partner (NIP). This NIP will be subject to the micro-assessment and subsequent quality assurance activities as per the Harmonized Approach to Cash Transfers to Implementing Partners (HACT) framework. UNDP will provide overall management and guidance from its Country Office in Hanoi and the Bangkok Regional Hub (BRH), and will be responsible for monitoring and evaluation of the project as per normal GEF and UNDP requirements.
- **MONRE will designate a senior official as the National Project Director (NPD) for the project.** The NPD will be responsible for overall guidance to project management, including adherence to the Annual Work Plan (AWP) and achievement of planned results as outlined in the ProDoc, and for the use of UNDP funds through effective management and well-established project review and oversight mechanisms. The NPD also will ensure coordination with various ministries and agencies provide guidance to the project team to coordinate with UNDP, review reports and look after administrative arrangements as required by the Government of Viet Nam and UNDP. The project will be executed according to UNDP's National Implementation Modality (NIM), as per the NIM project management implementation guidelines agreed by UNDP and the Government of Viet Nam.
- **The Project Steering Committee (PSC) will have oversight of the Project Management Unit (PMU).** The PSC will consist of a Chairperson (MONRE Vice Minister) with PSC members from MOIT, UNDP Viet Nam, MARD, MOH. The primary functions of the PSC will be to provide the necessary direction that allows the

¹ <http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>

Project to function and achieve its policy and technical objectives, and to approve the annual Project plans and M&E reports.

- **The PMU staff will report to the National Project Director (NPD).** The NPD assigned by the National Implementing Partner (MONRE) will be responsible to MONRE, MOIT, the PSC, and UNDP for implementing the Project, planning activities and budgets, recruiting specialists, conducting training workshops, and other activities to ensure the Project is executed as per approved work plans.
- **As a senior supplier, UNDP also has a role of project assurance.** This role will be exercised by the UNDP Programme Officer responsible for the project, based in the UNDP Country Office (CO), and a Visiting International Technical Advisor (VSTA), funded by the project.
- **PMU will implement mechanisms to ensure ongoing stakeholder participation and effectiveness** with the commencement of the Project by conducting regular stakeholder meetings, issuing a regular project electronic newsletter, conducting feedback surveys, implementing strong project management practices, and having close involvement with UNDP Viet Nam as the GEF Implementing Agency.

TE OBJECTIVES AND SCOPE

The objectives of the evaluation are (1) to assess the achievement of project results, and (2) to draw lessons that can both improve the sustainability of benefits from this project and aid in the overall enhancement of UNDP programming.

The TE will be conducted according to the guidance, rules, and procedures established by UNDP and GEF as reflected in the *UNDP Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects*.

TE APPROACH & METHOD

An overall approach and method² for conducting project terminal evaluations for 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 has been drafted and is included with this TOR (see [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. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region, and key stakeholders. The evaluator is expected to conduct a field mission in Viet Nam, including the following project sites: **Binh Duong** province, **Nghe An** province, and **Quang Binh** province.

Interviews will be held with the following organizations and individuals at a minimum:

- Department of Environmental Quality Management (DoEQM)/Vietnam Environment Administration (VEA)/Ministry of Natural Resources and Environment (MONRE);
- Vietnam Chemicals Agency (VINACHEMIA)/Ministry of Industry and Trade (MOIT);

² For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163.

- Senior officials, key experts and consultants in the subject area, Project Steering Committee (PSC), and Project Management Unit (PMU);
- DoNREs in Binh Duong and Nghe An provinces;
- Local people in Quang Binh province; and
- Industries in Binh Duong province.

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, and 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](#).

Evaluation Ratings:			
1. Monitoring and Evaluation	Rating	2. IA & EA Execution	Rating
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	Rating	4. Sustainability	Rating
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

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's own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants	2.55		8.05		3.0		13.6	
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 ecological status;
- b) verifiable reductions in stress on ecological systems; and/or
- c) demonstrated progress towards these impact achievements.³

CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations and lessons**.

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in Vietnam. 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.

The selected consultants will work closely with UNDP programme Officer and Project Management Unit (PMU) under the guidance of the Head of Climate Change and Environment Unit at UNDP Viet Nam.

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](#)

With the exception of a 8-day field mission including Hanoi, **Binh Duong, Nghe An, and Quang Binh** province, the members of the Evaluators team are expected to work mostly from their home based offices and communicate among themselves and with UNDP, PMU and other stakeholders electronically. The Evaluators team can seek out both UNDP and PMU for reasonable assistance and support that they may require to fulfill their responsibilities.

EVALUATION TIMEFRAME

The total duration of the evaluation will be **38 days**, divided according to the following plan:

Activity	Timing	Completion Date
Preparation	4 days: International consultant: 2 days National consultant: 2 days	1 April 2020
Evaluation Mission	16 days: International consultant: 8 days National consultant: 8 days	1 May 2020
Draft Final Report	15 days: International consultant: 10 days National consultant: 5 days	20 May 2020
Final Report	3 days (International consultant)	1 June 2020

DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP CO
Presentation	Initial findings	End of evaluation mission	To project management and UNDP CO
Draft Final Report	Full report (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC

*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, QUALIFICATIONS & RESPONSIBILITIES

The evaluation team will be composed of **1 international evaluator** and **1 national evaluator** (the international evaluator will be the team leader and will be responsible for finalizing the report). The consultants shall have prior experience in evaluating similar projects. Experience with GEF-financed projects is an advantage. 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.

INTERNATIONAL CONSULTANT

QUALIFICATIONS

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to POPs and chemical management;
- Experience working with the GEF or GEF-evaluations;
- Experience working in Asia is an advantage;
- Work experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender-sensitive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical and report-writing skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;
- A Master's degree in chemical engineering, environment, or other closely related field.

RESPONSIBILITIES

- Lead and manage the evaluation mission;
- Design the detailed evaluation scope and methodology (including the methods for data collection and analysis);
- Decide the division of labor within the evaluation team;
- 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.

INTERNATIONAL CONSULTANT EVALUATION

	Consultant's experiences/qualification related to the service	Points
1	Recent experience with result-based management evaluation methodologies	150
2	Experience applying SMART indicators and reconstructing or validating baseline scenarios	100
3	Competence in adaptive management, as applied to POPs and chemical management	100
4	Experience working with the GEF or GEF-evaluations is an advantage	50
5	Experience working in Asia is an advantage	100
6	Work experience in relevant technical areas for at least 10 years	100
7	Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender sensitive evaluation and analysis.	100
8	Demonstrable analytical and report-writing skills	100
9	Project evaluation/review experiences within United Nations system will be considered an asset	100
10	A Master's degree in chemical engineering, environment, or other closely related field	100
TOTAL		1,000

NATIONAL CONSULTANT

QUALIFICATIONS

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to POPs and chemical management;
- Experience working with the GEF or GEF evaluations;
- Work experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender sensitive evaluation and analysis;
- Excellent communication skills;
- Excellent English language abilities, written and spoken;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;
- A Master's degree in chemical engineering, environment, or other closely related field.

RESPONSIBILITIES

- 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 MTR reports, notes of the meetings and other related documents prepared by the international consultant; and
- Performing translation for the international consultants during meetings with various stakeholders and necessary documents discussed during the international consultant's mission.

NATIONAL CONSULTANT EVALUATION

	Consultant's experiences/qualification related to the service	Points
1	Recent experience with result-based management evaluation methodologies	150
2	Experience applying SMART indicators and reconstructing or validating baseline scenarios	100
3	Competence in adaptive management, as applied to POPs and chemical management	100
4	Experience working with the GEF or GEF evaluations as an asset	50
5	Excellent English language abilities, written with two writing samples submitted	100
6	Work experience in relevant technical areas for at least 10 years	100
7	Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender sensitive evaluation and analysis.	100
9	Demonstrable analytical skills	100
10	Project evaluation/review experiences within United Nations system will be considered an asset	100
11	A Master's degree in chemical engineering, environment, or other closely related field	100
TOTAL		1,000

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.⁴

PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
10%	Final TE Inception report
40%	Following submission and approval of the 1 st draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

RECOMMENDED PRESENTATION OF PROPOSAL

- a) **Letter of Confirmation of Interest and Availability** using the template⁵ provided by UNDP;
- b) **Current and complete CV** in English
- 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) Two writing samples (**for National consultant only**)

⁴ <http://www.unevaluation.org/ethicalguidelines>

⁵ http://procurement-notice.undp.org/view_file.cfm?doc_id=45780

ANNEX A-TOR: PROJECT LOGICAL FRAMEWORK

See in the Project Inception Report.

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

The following documents will be reviewed:

1. Project Document
2. Project Initiation Plan
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. Midterm Evaluation report
8. Oversight mission reports
9. All monitoring reports prepared by the project
10. Financial and Administration guidelines used by Project Team
11. All deliverables of all packages under the project

The following documents will also be available:

- Project operational guidelines, manuals, and systems
- UNDP country/countries programme document(s)
- Minutes of the *Viet Nam POPS and Sound Harmful Chemicals Management Project* Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)

ANNEX C-TOR: EVALUATION QUESTIONS

This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.

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-TOR: RATING SCALES

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

ANNEX E – TOR: 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 Form ⁶	
Agreement to abide by the Code of Conduct for Evaluation in the UN System	
N a m e o f C o n s u l t a n t :	

N a m e o f C o n s u l t a n c y O r g a n i z a t i o n (w h e r e r e l e v a n t) :	

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.	
Signed at	_____ on _____
Signature:	_____

⁶www.unevaluation.org/unegcodeofconduct

ANNEX F -TOR: EVALUATION REPORT OUTLINE⁷

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 Manual⁸)

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 rated⁹)

3.1 Project Design / Formulation

- Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
- Assumptions and Risks

⁷The Report length should not exceed **40** pages in total (not including annexes).

⁸ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

⁹ 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.

- 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 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

ANNEX G-TOR: EVALUATION REPORT CLEARANCE FORM

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

<p>Evaluation Report Reviewed and Cleared by UNDP Country Office Name: _____ Signature: _____ Date: _____</p> <p>UNDP GEF RTA Name: _____ Signature: _____ Date: _____</p>
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ANNEX IV

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

Date _____

United Nations Development Programme

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 and USD for International Consultant).

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

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). *			
2.4	Others (pls. specify).....			
2.5	VAT** if applicable (in case your company signs the contract)			
	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.

** Individual Consultants/Contractors who request their employer to sign a Reimbursable Loan Agreement (RLA) with UNDP for their behalves are reminded to add the Value Added Tax into the total lump sum of the Financial Offer if applicable.

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).