



30 July 2020

## INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

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

Country:	Viet Nam
Description of the assignment:	01 National Consultant to conduct a terminal evaluation of the project Conservation of Critical Wetland Protected Areas and Linked Landscapes
Period of assignment/services (if applicable):	August 2020 – October 2020
Duty Station:	Vietnam
Tender reference:	T200702

1. Submissions should be sent by **email** to: [luu.thi.trang@undp.org](mailto:luu.thi.trang@undp.org) no later than:

**23.59 hrs., 30 July 2020 (Hanoi time)**

With subject line:

**T200702 - 01 National Consultant to conduct a terminal evaluation of the project Conservation of Critical Wetland Protected Areas and Linked Landscapes**

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](mailto: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
- At least two reports in English must be provided

**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:

NATIONAL CONSULTANT		
No.	Criteria	Score
1	Recent experience with result-based management evaluation methodologies	150
2	Experience working with project review/monitoring and evaluations	150
3	Knowledge and experience in wetland conservation, biodiversity conservation, and other relevant areas such as climate change and land degradation.	300
4	Demonstrable analytical skills and report-writing skills ( <b>at least two reports in English must be provided</b> ).	200
5	Project evaluation/review experiences within the United Nations system will be considered an asset	100
6	Master's degree or higher in environmental sciences/economics, biodiversity conservation, or other closely related field	100
<b>Total</b>		<b>1000</b>

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 to the payment.

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

# TERMS OF REFERENCE

## PROJECT TERMINAL EVALUATION



Empowered lives.  
Resilient nations.

**Position:** 01 national consultant to conduct a terminal evaluation of the project *Conservation of Critical Wetland Protected Areas and Linked Landscapes*

**Duty Station:** Hanoi with travels to Thai Binh and Thua Thien Hue provinces

**Type of appointment:** Individual contract

**Duration:** National consultant: 25 days (from August 2020 to October 2020)

**Reporting to:** UNDP Viet Nam & PMU

### PROJECT SUMMARY TABLE

<b>GEF Project ID:</b>	PIMS #4537		<i>At endorsement (Million US\$)</i>	<i>At completion (Million US\$)</i>
<b>UNDP Project ID:</b>	00088048	<b>GEF financing:</b>	3,180,287	
<b>Country:</b>	Viet Nam	<b>IA/EA own:</b>	1,000,000	
<b>Region:</b>	Asia and the Pacific	<b>Government:</b>	12,871,600	
<b>Focal Area:</b>	Biodiversity	<b>Other:</b>	1,020,000	
<b>FA Objectives, OP/SP:</b>	Objective 1: <i>Improve Sustainability of PA Systems</i>	<b>Total co-financing:</b>		
<b>Executing Agency:</b>	Ministry of Natural Resources and Environment (MONRE)	<b>Total project cost:</b>	18,071,887	
<b>Other Partners involved:</b>	Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE)	<b>ProDoc Signature (date project began):</b>		9 June 2015
		<b>(Operational) Closing Date:</b>		

	Biodiversity Conservation Agency (BCA)/VEA		
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## 1 INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) upon completion of implementation. These terms of reference (TOR) set out the expectations for a TE of the project *Conservation of Critical Wetland Protected Areas and Linked Landscapes* (PIMS #4537).

The TE process must follow the guidance outlined in the document *Guidance For Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects*.<sup>1</sup>

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

## 2 Project BACKGROUND INFORMATION

An estimated 30% of Viet Nam's national land area comprises inland and coastal wetlands. These harbors are considerable globally significant biodiversity and generate a vast array of ecosystem services. However, these wetlands are under increasing threats from a range of economic activities, particularly conversion for agriculture and aquaculture, overexploitation of biotic resources and pollution. The project was formulated to enhance systematic, institutional, and operational capacity for effective wetlands biodiversity management in Viet Nam nationally and at provincial level of the selected sites. The project's immediate objective is to establish new wetland protected areas and create capacities for their effective management to mitigate existing and emerging threats from connected landscapes in two project provinces: Thai Binh and Thua Thien Hue. The project also seeks to remove the policy barriers that currently prevent the effective conservation and sustainable use of Viet Nam's wetlands. Project design was organized into two inter-related components that reflect the GEF's focus on system-level solutions and on influencing behavioral change at different levels:

1. **Component 1** focuses on overcoming the existing gap in Viet Nam's otherwise impressive national PA system, namely the inadequate representation of wetlands ecosystems, which are being increasingly threatened by other economic sectors. In order to do so, activities under Component 1 are centered on developing systemic capacity at national and subnational levels for the establishment and effective administration and management of a subsystem of wetlands protected areas in Viet Nam. This is to be achieved through the following Outputs:

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

- Output 1.1: New and updated national policy, regulatory and planning frameworks for wetlands conservation
  - Output 1.2: Strengthened national capacity for administration of wetland conservation areas
  - Output 1.3: Two new wetland conservation areas established with management systems in place
  - Output 1.4 Strengthened provincial capacity for wetlands conservation management and sustainable use
2. **Component 2** addresses the lack of capacity among key stakeholders from government to local communities to effectively identify and manage threats to wetlands arising from activities and interventions within the wider landscape, through the following Outputs:
- Output 2.1 Increased understanding and knowledge about wetlands ecosystem values, sustainable use and management across the wider landscape
  - Output 2.2 Wetlands conservation and sustainable use mainstreamed into key provincial development plans
  - Output 2.3 Reduced threats to biodiversity from local livelihoods

Since the start of the novel coronavirus (COVID-19) outbreak, Vietnam has closely monitored the situation and installed a series of proactive, comprehensive measures to combat the spread of the virus within the country and prepare its public health facilities. The first confirmed cases of COVID-19 appeared in Vietnam on Jan. 23, 2020. Of the confirmed cases that have appeared in Vietnam to date, 307 are Vietnamese, and the rest are foreigners. Vietnam has reported no cases of community spread since April 17. Vietnam lifted its 22-day social distancing directive on April 23. Most trades and services are back in business. Flights, public transportation, inter-provincial transportation, hotels, monuments, tourism attractions, and government offices have reopened with safety measures in place. Only Vietnamese nationals, foreigners on diplomatic or official business, and highly skilled workers are allowed to enter the country at this time. Anyone entering Vietnam must undergo medical checks and 14-day quarantine upon arrival<sup>2</sup>.

### 3 OBJECTIVE AND SCOPE

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

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

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<sup>2</sup> Further update can be found at <https://vietnam.travel/things-to-do/information-travellers-novel-coronavirus-vietnam> and <https://ncov.moh.gov.vn/>

and aid in the overall enhancement of UNDP country programme 2017 – 2021 (CPD), One Strategic Plan 2017-2021 (OSP), and recommendations for the new Programming Period.

#### 4 EVALUATION APPROACH AND METHOD

An overall approach and method<sup>3</sup> 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 team 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 evaluators are expected to conduct a field mission in Viet Nam, including the following project sites: **Thai Binh province (2 days) and Thua Thien Hue province (4 days)**.

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

- Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE) / Ministry of Natural Resources and Environment (MONRE);
- Biodiversity Conservation Agency (BCA)/VEA (MONRE)
- Senior officials, key experts and consultants in the subject area, Project Steering Committee (PSC), and Project Management Unit (PMU);
- DoNREs in Thua Thien Hue and Thai Binh provinces.
- DARD in Thai Binh province
- Thai Binh Wetland Protected Area Management Board.
- Integrated Coastal Coordination and Management Board of Thua Thien Hue province.
- District People's Committee of Thai Thuy District
- District People's Committees of Phong Dien, Quang Dien and People's committee of Huong Tra Town, Thua Thien Hue province
- Selected communities/households who are beneficiaries of the project's demonstration models at two project sites.

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<sup>3</sup> For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163.



The evaluators will review all relevant sources of information (refer to Annex B) , such as the project document, the project inception report, 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.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to the country has been restricted since April 1, 2020 and travel in the country is also restricted. If it is not possible to travel to or within the country for the TE mission then the TE team should develop a methodology that takes this into account the conduct of the TE virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the TE Inception Report and agreed with the Commissioning Unit.

If all or part of the TE is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final TE report.

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the TE schedule. Equally, qualified and independent national consultants can be hired to undertake the TE and interviews in country as long as it is safe to do so.

## 5 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:	

## 6 Project finance / co-finance

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	Planned	Actual
Grants								
Loans/Concessions								

In-kind support								
Other								
Totals								

## 7 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 equality.

## 8 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:

- 1) verifiable improvements in ecological status;
- 2) verifiable reductions in stress on ecological systems; and/or
- 3) demonstrated progress towards these impact achievements.<sup>4</sup>

## 9 Conclusions, recommendations & lessons

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

## 10 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 while travel arrangements within the country for the evaluation team will be made by the PMU. The Project Team will be responsible for liaising with the Evaluator Team to set up stakeholder interviews, arrange field visits, coordinate with the Government, etc.

## 11 Evaluation timeframe

The total duration of the evaluation will be over a time period of 10 weeks (20 days for IC and 25 for NC) according to the following plan:

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<sup>4</sup> 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**.

Activity	Timing		Completion Date (since contract signing)
	<i>International consultant</i>	<i>National consultant</i>	
<b>Preparation</b>	3 days	5 days	within 2 weeks
<b>Evaluation Mission</b>	10 days	10 days	within 4 weeks
<b>Draft Final Report</b>	5 days	7 days	within 7 weeks
<b>Final Report</b>	2 days	3 days	within 10 weeks

## 12 Evaluation deliverables

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission: 20 August, 2020	Evaluator submits to UNDP CO
<b>Presentation</b>	Initial findings	End of evaluation mission: 20 September, 2020	To project management and UNDP CO
<b>Draft Final Report</b>	Full report (per annexed template) with annexes	Within 3 weeks of the evaluation mission: 10 October, 2020	Sent to CO, reviewed by RTA, PCU, GEF OFPs
<b>Final Report*</b>	Revised report	Within 1 week of receiving UNDP comments on draft: 30 October, 2020	Sent to CO for uploading to UNDP ERC

## 13 Team Composition

The evaluation team will be composed of **01 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.

## QUALIFICATIONS

The team members must present the following qualifications:

### Education

Master's degree or higher in Environment, Natural Resources, and/or other closely related field;

### Experience

Relevant experience with results-based management evaluation methodologies;  
 Experience applying SMART indicators and reconstructing or validating baseline scenarios;  
 Competence in adaptive management, as applied to biodiversity;  
 Experience in evaluating projects;  
 Experience in relevant technical areas of wetland conservation, biodiversity conservation, and other relevant areas such as climate change and land degradation for at least 10 years;  
 Demonstrated understanding of issues related to gender and biodiversity; experience in gender responsive evaluation and analysis;  
 Excellent communication skills;  
 Demonstrable analytical skills;  
 Project evaluation/review experience within United Nations system will be considered an asset;  
 Experience with implementing evaluations remotely will be considered an asset.

### Language

- Fluency in written and spoken Vietnamese and English.

## SELECTION CRITERIA

NATIONAL CONSULTANT		
No.	Criteria	Score
1	Recent experience with result-based management evaluation methodologies	150
2	Experience working with project review/monitoring and evaluations	150
3	Knowledge and experience in wetland conservation, biodiversity conservation, and other relevant areas such as climate change and land degradation.	300
4	Demonstrable analytical skills and report-writing skills (at least two reports in English must be provided).	200
5	Project evaluation/review experiences within the United Nations system will be considered an asset	100
6	Master's degree or higher in environmental sciences/economics, biodiversity conservation, or other closely related field	100
<b>Total</b>		<b>1000</b>

## 14 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*.<sup>5</sup>

## 15 Payment modalities and specifications

%	Milestone
10%	Upon submission of detailed workplan
40%	Following submission and approval of the 1 <sup>st</sup> draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

In line with the UNDP's financial regulations, when determined by the Commissioning Unit and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the TE, that deliverable or service will not be paid.

Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

### 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.

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<sup>5</sup> <http://www.unevaluation.org/ethicalguidelines>

Annex A: Project Logical Framework  
*(To be included in the project document packages)*

## Annex B: List of Documents to be reviewed by the evaluators

*The following documents will be reviewed:*

- GEF Project Information Form (PIF), Project Inception Report
- Project document
- Annual Workplans of 2016, 2017, 2018, 2019 and 2020
- Implementing/Executing partner arrangements
- Project reports
- Annual Project Implementation (APR/PIR) Reports
- Project budget and financial data
- Project Tracking Tool, at the baseline and at the mid-term
- Mid-term Review Report
- One UN Plan II 2017-2021
- UNDP Country Programme Action Plan (CPAP)
- GEF focal area strategic program objectives
- List and contact details for project staff, key project stakeholders, including Project Boards, and other partners to be consulted:
  - Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE) / Ministry of Natural Resources and Environment (MONRE);
  - Biodiversity Conservation Agency (BCA)/VEA (MONRE)
  - Senior officials, key experts and consultants in the subject area, Project Steering Committee (PSC), and Project Management Unit (PMU);
  - DoNREs in Thua Thien Hue and Thai Binh provinces
  - Thai Binh Wetland Protected Area Management Board.
  - Integrated Coastal Coordination and Management Board of Thua Thien Hue province.
  - District People's Committee of Thai Thuy District
  - District People's Committees of Phong Dien, Quang Dien and People's committee of Huong Tra Town, Thua Thien Hue province
  - Selected communities/households who are beneficiaries of the project's demonstration models at two project sites.

## Annex C: Evaluation Questions

This Evaluation Criteria Matrix must be fully completed by the consultant and included as an Annex to the TE report.

Evaluative Criteria Questions	Indicators	Sources	Methodology
<b>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 (including CPD &amp; OSP 2017 – 2021)?</b>			



<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
<b>Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?</b>			
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b>			

## Annex D: Rating Scales

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

## **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 Form<sup>6</sup>

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

Name of Consultant:

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Name of Consultancy Organization (where relevant):

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

Signed at 

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 on

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Signature:

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<sup>6</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

## Annex F: Evaluation Report Outline<sup>7</sup>

### i. Opening Page

- Title of UNDP-supported GEF-financed project
- UNDP and GEF project ID #s
- Evaluation timeframe 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 Manual.)*<sup>8</sup>

### 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 rated)*<sup>9</sup>

#### ***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

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<sup>7</sup>The report length should not exceed **40** pages in total (not including annexes).

<sup>8</sup> UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008.

<sup>9</sup> Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see [Annex D](#) for ratings explanations.

- Planned stakeholder participation
- Replication approach
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

### ***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

### ***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: Evaluation Report Clearance Form

Evaluation Report Reviewed and Cleared by:

UNDP Country Office

Name: \_\_\_\_\_

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

UNDP GEF RTA

Name: \_\_\_\_\_

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

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.

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**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).

<b>No.</b>	<b>Description</b>	<b>Quantity</b>	<b>Unit Rate</b>	<b>Total</b>
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)			
	<b>Total</b>			

\* 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).