

15 September 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 1 national consultant to conduct a terminal evaluation of the project Energy Efficiency Improvement in Commercial and High-Rise Residential Buildings in Viet Nam
Period of assignment/services (if applicable):	October 2020 – September 2021 01 International Consultant: 30 working days 01 National Consultant: 25 working days
Duty Station:	Home base, Hanoi and travel to provinces
Tender reference:	A-200903

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

23.59 hrs., Thursday 15 October 2020 (Hanoi time)

With subject line: A-200903-1-International Consultant for terminal evaluation EECB

Or

A-200903-2-National Consultant for terminal evaluation EECB

Submission received after that date or submission not in conformity with the requirements specified in 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 **VND for 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:

01 International Consultant

Consultant(s)' experiences/qualification related to the services		
1	Master's degree in project management, energy efficiency, construction or relevant fields	150
2	At least ten (10) years of international experience in the areas of project development, project implementation, and project evaluation for donor-funded development projects in	200

	developing countries	
3	Recent experience leading results-based management evaluation of international donor supported project in climate change mitigation, energy efficiency in buildings or related fields	250
4	Experience working with the GEF or GEF-evaluations; Project evaluation/review experiences within United Nations system will be an asset	150
5	Work experience in climate change mitigation, energy efficiency projects in developing countries in Asia is an advantage	150
6	Demonstrated command over writing professional reports in English with sample of 2 similar reports submitted	100
Total		1000

National Consultant

Consultant(s)' experiences/qualification related to the services		
1	Graduate degree in project management, energy efficiency, construction or relevant fields	200
2	At least five (5) years of experience in the areas of project development, project implementation, and project evaluation for donor-funded development projects in Viet Nam	250
3	Familiarity and past experience with evaluation of donor supported project, especially energy efficiency in buildings, climate change mitigation projects.	200
4	Work experience in climate change mitigation for donor-supported projects is an advantage	100
5	Experience with evaluation of GEF supported project is an asset	100
6	Excellent English skills with evidence through practical experience.	150
Total		1000

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

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

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

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

Interview with the candidates may be held if deemed necessary.

5. Contract

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

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

Documents required before contract signing:

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

6. Payment

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

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

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

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



TERMS OF REFERENCE

PROJECT TERMINAL EVALUATION

Position:	01 international consultant and 1 national consultant to conduct a terminal evaluation of the project Energy Efficiency Improvement in Commercial and High-Rise Residential Buildings in Viet Nam
Duty Station:	Home base, Hanoi and travel to provinces ¹
Type of appointment:	Individual contract
Duration:	From October 2020 to September 2021

PROJECT SUMMARY TABLE

Project Title:	Energy Efficiency Improvement in Commercial and High-Rise Residential Buildings in Viet Nam			
GEF Project ID:	5245		<i>At Endorsement (Million US\$)</i>	<i>At completion (Million US\$)</i>
UNDP Project ID:	00092225	GEF financing:	\$3,198,000	To be completed during the TE
Country:	Viet Nam	IA/EA own:	\$2,220,000	"
Region:	Country wide	Government:	\$ 2,700,000	"
Focal Area:	Climate Change	Private Sector:	\$16,578,550	"
FA Objectives, (OP/SP):	CCM1_2.1 Appropriate policy, legal and regulatory frameworks adopted and enforced CCM1_2.2 Sustainable financing and delivery mechanisms established and operational	Total co-financing:	\$21,498.550	"
Executing Agency:	Ministry of Construction	Total Project Cost:	\$24,696,550	"
Other Partners involved:	Ministry of Industry and Trade (MoIT), Ministry of Science and Technology	ProDoc Signature (date project began):		April 5 th , 2016
		(Operational) Closing Date:	Proposed: 30 March 2021	Actual:

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

¹ International and domestic travels will be determined subject to the impact of COVID-19

reference (TOR) set out the expectations for a TE of the project **Energy Efficiency Improvement in Commercial and High-Rise Residential Buildings in Viet Nam (PIMS #:5245)**.

The TE process must follow the guidance outlined in the document *Guidance for Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects*.²

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

PROJECT BACKGROUND INFORMATION

Although the building construction market went through a long period of volatility after the crisis in 2008, the total construction activities outputs (including both building and infrastructure works) still grew by 9% in 2019 compare to 2018, likewise it already achieved what it did during the 2015 -2018 period. The Government of Viet Nam has realized the significance of the energy consumption and GHG emissions responsible by the building sector in the country, and to respond to this alarming trend, considerable efforts have been undertaken by responsible government agencies to enhance EE in the building sector

The Project was designed to reduce intensity of GHG emissions from the building sector in Viet Nam. The project objective is to improve the energy utilization performance of commercial and high-rise residential buildings in Ho Chi Minh and Hanoi. Realization of this objective will be achieved through implementation of three components.

- (1) Improvement and Enforcement of Energy Efficiency Building Code;
- (2) Building Market Development Support Initiatives, and
- (3) Building EE Technology Applications and Replications.

Each component comprises a number of complementary activities designed to remove barriers to the stringent enforcement of the revised EEBC, and to the greater uptake of building energy efficiency technologies, systems, and practices in commercial and residential buildings. By EOP, the GEF investment will have catalysed direct GHG emission reduction of about 37,680 tCO₂e. The cumulative direct reduction in GHG emissions over the lifetime of the project is envisioned to be 236,382 tCO₂e.

The Project was designed for 4-year period from 2016 – 2020 and was extended until Mar 31, 2021. The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects

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 January 23, 2020. As of September 11, Viet Nam had confirmed 1,059 cases of COVID-19 with 893 of the affected patients recovered and 35 deaths. Vietnam has reported no cases of community spread since September 2. In light of the recent COVID-19 outbreak, Vietnam has imposed several travel restrictions on those entering the country. Flights, public transportation, inter-provincial transportation, hotels, monuments, tourism attractions, and government offices have reopened with safety measures in place. Viet Nam has lifted the mandatory 14-day quarantine for foreign experts, investors, managers, and diplomats on short business trips of less than 14 days. However, they must comply with all other health measures and must follow their scheduled itinerary. If after 14 days they wish to stay in Viet Nam, they can do so without quarantining, provided they test negative for the virus³.

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*.

² Please refer to: <http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>.

³ Further update can be found at <https://vietnam.travel/things-to-do/information-travellers-novel-coronavirus-vietnam> and <https://ncov.moh.gov.vn/>

The objectives of the evaluation are (1) to assess the achievement of project results based on the project set targets and linkages of the actual results with UNDP country programme (relevant strategy/outcomes/outputs) and One Strategic Plan 2017-2021 (OSP), and (2) to draw lessons that can both improve the sustainability of benefits from this project 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.

EVALUATION APPROACH AND METHOD

An overall approach and method⁴ 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 TE team is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts including Ministry of Construction, Ministry of Science and Technology, Ministry of Industry and Trade, the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders including demonstration site owners, etc. Depending on the travel restriction due to the COVID, the evaluators might be expected to conduct a field mission to Viet Nam including the project sites in Hanoi and Ho Chi Minh city.

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 evaluators consider useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluators for review is included in [Annex B](#) of this Terms of Reference.

Depending on COVID situation, 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 consultant can be hired to undertake the TE and interviews in country as long as it is safe to do so.

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

⁴ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163.

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 / 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 evaluators 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								
Loans/Concessions								
In-kind support								
Other								
Totals								

MAINSTREAMING

UNDP-supported GEF financed projects are key components in UNDP country programming on promotion of sustainable low-carbon development while strengthening resilience of targeted groups, 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.

IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated:

- a) verifiable improvements in energy savings,
- b) verifiable reductions in greenhouse gas emissions, and/or
- c) demonstrated progress towards these impact achievements⁵ and contribution to CPD's strategy/ outcomes/ outputs

CONCLUSIONS, RECOMMENDATIONS & LESSONS

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

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in Viet Nam. The UNDP CO will contract the evaluators and ensure the timely provision of per diems 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.

EVALUATION TIMEFRAME, DUTY STATION AND EXPECTED PLACES OF TRAVEL

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

Duration and Timing: Estimated 30 working days for an international consultant and 25 working days for one national consultant during October 2020 – September 2021.

The tentative schedule is according to the following plan:

Activity	Timing (international consultant)	Timing (national consultant)	Completion Date
Reviewing documents and Preparation of inception report	10 working days	10 working days	15 December 2020
Evaluation Mission, stakeholder meetings, interviews, field visits, etc	5 working days (tentatively during 11 – 22 January 2021)	5 working days	18 – 22 January 2021
Draft Evaluation Report	10 working days	8 working days	15 February 2021
Final Evaluation Report that incorporate comments on draft TE report into Audit Trail & finalization of TE report	5 working days	2 working days	15 March 2021

⁵ 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

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

#	Deliverable	Description	Timing	Responsibilities
1	TTR Inception Report	TR team clarifies timing, objectives and methods of Terminal Review	No later than 2 weeks before the TE mission: (15 December 2020)	TE team submits to the UNDP CO and project team the Inception Report
2	Presentation	Initial Findings	End of TE mission: (22, January 2021)	TE team presents to UNDP and PMU
3	Draft TE Report	Full draft report (using guidelines on report content in ToR Annex C) with annexes	Within 3 weeks of the TE mission: (15 February 2021)	TE team submits to PMU and UNDP; reviewed by GEF RTA
5	Final TE Report* + Audit Trail	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report (See template in ToR Annex H)	Within 2 weeks of receiving UNDP comments on draft: (15 March 2021)	TE team submits both documents to UNDP

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:

For International Consultant (Team Leader)

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

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

- Lead and manage the evaluation mission; Guide the national expert in collecting data and information and preparation of relevant sections in the report
- Design the detailed evaluation scope and methodology (including the methods for data collection and analysis);

- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above);
- Draft related parts of the evaluation report; and
- Finalize the entire evaluation report.

For National Consultant (Team member)

- Graduate degree in degree in project management, energy efficiency, construction or relevant fields
- At least five (5) years of experience in the areas of project development, project implementation, and project evaluation for donor-funded development projects in Viet Nam;
- Familiarity and past experience with evaluation of international donor supported projects, especially energy efficiency (in buildings), climate change mitigation projects;
- Work experience in climate change mitigation for donor-supported projects is an advantage
- Experience with evaluation of GEF supported projects is an asset
- Good interpersonal and analytical skills and ability to work under diverse/varied cultural environments;
- Excellent English skills with evidence through practical experience.

Specifically, the national consultant will perform the following tasks:

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

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct ([Annex E](#)) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the *UNEG Ethical Guidelines for Evaluations*.⁶

PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
20%	Payment upon satisfactory delivery of the final TE Inception Report and approval by UNDP
40%	Payment upon satisfactory delivery of the draft TE report to UNDP
40%	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.

⁶ <http://www.unevaluation.org/ethicalguidelines>

ANNEX A: PROJECT LOGICAL FRAMEWORK

(To be included in the project document packages upon commencement of the assignment)

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
- Project inception report
- Annual Workplans of 2016, 2017, 2018, 2019 and 2020
- Implementing/Executing partner arrangements
- Annual Project Implementation (APR/PIR) Reports
- Quarterly progress reports and work plans of the various implementation task teams
- Audit reports
- Project budget and financial data
- Project Tracking Tool, at the baseline and at the mid-term
- Mid-term Review Report
- Oversight mission reports, Minutes of the Project Board Meetings and other meetings
- All monitoring reports prepared by the project
- Technical reports of key activities/results by the project
- One UN Plan II 2017-2021
- UNDP Country Programme Document (CPD)
- GEF focal area strategic program objectives

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
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 & OSP 2017 – 2021)?			
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?			
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			

ANNEX D: RATING SCALES

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

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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 Form⁷

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

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

Signed at _____ on _____

Signature: _____

⁷www.unevaluation.org/unegcodeofconduct

ANNEX F: EVALUATION REPORT OUTLINE⁸

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.)⁹

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)¹⁰*

Project Design / Formulation

Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
Assumptions and Risks
Lessons from other relevant projects (e.g., same focal area) incorporated into project design
Planned stakeholder participation
Replication approach
UNDP comparative advantage
Linkages between project and other interventions within the sector

⁸The report length should not exceed **40** pages in total (not including annexes).

⁹ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008.

¹⁰ 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.

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

TE ToR (excluding ToR annexes)

TE Mission itinerary

List of persons interviewed

List of documents reviewed

Summary of field visits

Evaluation Question Matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)

Questionnaire used and summary of results

Co-financing tables (if not include in body of report)

TE Rating scales

Signed Evaluation Consultant Agreement form

Signed UNEG Code of Conduct form

Signed TE Report Clearance form

Annexed in a separate file: TE Audit Trail

Annexed in a separate file: relevant terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools, as applicable

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 H: TE Audit Trail

The following is a template for the TE Team to show how the received comments on the draft TE report have (or have not) been incorporated into the final TE report. This Audit Trail should be listed as an annex in the final TE report but not attached to the report file.

To the comments received on (date) from the Terminal Evaluation of (project name) (UNDP Project PIMS #)

The following comments were provided to the draft TE report; they are referenced by institution/organization (do not include the commentator's name) and track change comment number (“#” column):

Institution/ Organization	#	Para No./ comment location	Comment/Feedback on the draft TE report	TE team response and actions taken

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.

