

IMPROVING KILN EFFICIENCY IN THE BRICK MAKING INDUSTRY (IKEBMI) PROJECT  
 TERMINAL EVALUATION TERMS OF REFERENCE (TOR) FOR INTERNATIONAL CONSULTANT

## INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the *Improving Kiln Efficiency in the Brick Making Industry – IKEBMI* (PIMS #2837)

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

## PROJECT SUMMARY TABLE

Project Title:	Improving Kiln Efficiency in the Brick Making Industry (IKEBMI)			
GEF Project ID:	1901 (GEF PMIS #)		<i>at endorsement</i> (Million US\$)	<i>at completion</i> (Million US\$)
UNDP Project ID:	2837 (UNDP PIMS#) 00075326 (Atlas ID#)	GEF financing:	\$3,000,000	
Country:	Bangladesh	IA/EA own:		
Region:	Asia-Pacific	Government:	\$60,000	
Focal Area:	Climate Change	Other:	\$10,980,000	
FA Objectives, (OP/SP):	OP-5	Total co-financing:	\$11,040,000	
Executing Agency:	UNDP	Total Project Cost:	\$14,040,000	
Other Partners involved:	N/A	ProDoc Signature (date project began):		04-06-2010
		(Operational) Closing Date:	Proposed: 03-04-2015	Actual: 31-06-2016

## OBJECTIVE AND SCOPE

Improving Kiln Efficiency in the Brick Making Industry – IKEBMI Project is a GEF-funded, UNDP-supported project initiated in 2010. The main objective of the project is to remove barriers to the widespread adoption of energy efficient practices in the brick making industry of Bangladesh. Traditional brick making in Bangladesh is a highly energy intensive and carbon emitting activity and is a major source of deforestation and land degradation. Brick making operations in the country fall mostly within the informal small and medium enterprises sector and do not have financial or strong regulatory incentives to become more energy efficient.

Against this backdrop, the IKEBMI Project is working to promote energy efficient and environment friendly technologies in Bangladesh's brick making industry.

**Outcomes that contribute to this objective:**

**Outcome 1: Energy Efficient Kiln Technology Support Program:** thorough understudying and appreciation of technology options and their environmental impacts by brick makers, government and other stakeholders

**Outcome 2: Energy Efficient Kiln Demonstration Program:** Establishment of a critical mass of demonstration projects that will provide detailed information of EEK operations, energy savings and environmental impacts to interested brick makers

**Outcome 3: Energy Efficient Kiln Technical and Management Capacity Building Program:** Improved local vocational, technical and managerial capacity to manage and sustain operations of EEKs and EE practices in Bangladesh

**Outcome 4: Communications and Awareness Program:** Enhanced awareness of the public and other stakeholders on EEKs, EE molding practices and EEK brick products

**Outcome 5: Energy Efficient Kiln Finance Support Program:** Availability of financial and institutional support to encourage SME adoption of energy efficient kilns

**Outcome 6: Energy Efficient Kiln Policy Development and Institutional Support Program**

Promulgation of and compliance with favorable policies and regulations that encourage adoption of EEKs and EE brick making practices and methodologies

The project will be completed in June 31, 2016 after 14 months no-cost extension as per the MTR recommendations. The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects. The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

Considering the innovative nature of the project - first of its kind in Bangladesh that addresses energy efficiency, air pollution and climate change mitigation - and technology intensive activities, and the direct technical assistance required by the private entrepreneurs in managing the project and accounting for emissions reduction, the project is under UNDP execution/implementation. It is being directly implemented by the private sector under the overall framework of the Country Programme Action Plan (CPAP) and following UNDP rules, regulations, procedures and guidelines where applicable. UNDP is providing support to the private sector in managing and coordinating the project through establishment of a Project Management Unit (PMU) headed by a Project Coordinator (PC).

As a Responsible Party, Clean Energy Alternative (CEA) Inc., played a major role in coordinating with the Bangladesh Brick Owners and Manufacturers Association (BBOMA), the Xian Institute of China and Financial Institutions for achieving the project objectives. CEA has conducted training needs assessment, technical training, manual development, technical training to local consulting firms, engineers and technicians, capacity development of financial institutions, facilitating the financial institutions to ensure project financing,

feasibility studies including baseline data, business plan preparation, liaison and field support to Xian Institute for field implementation, develop BMI monitoring and reporting system, etc. The capacity assessment of the CEA was done during the PDF-B phase for accomplishment of the above activities and was found very satisfactory. As a Responsible Party, CEA have a Letter of Agreement (LOA) with UNDP.

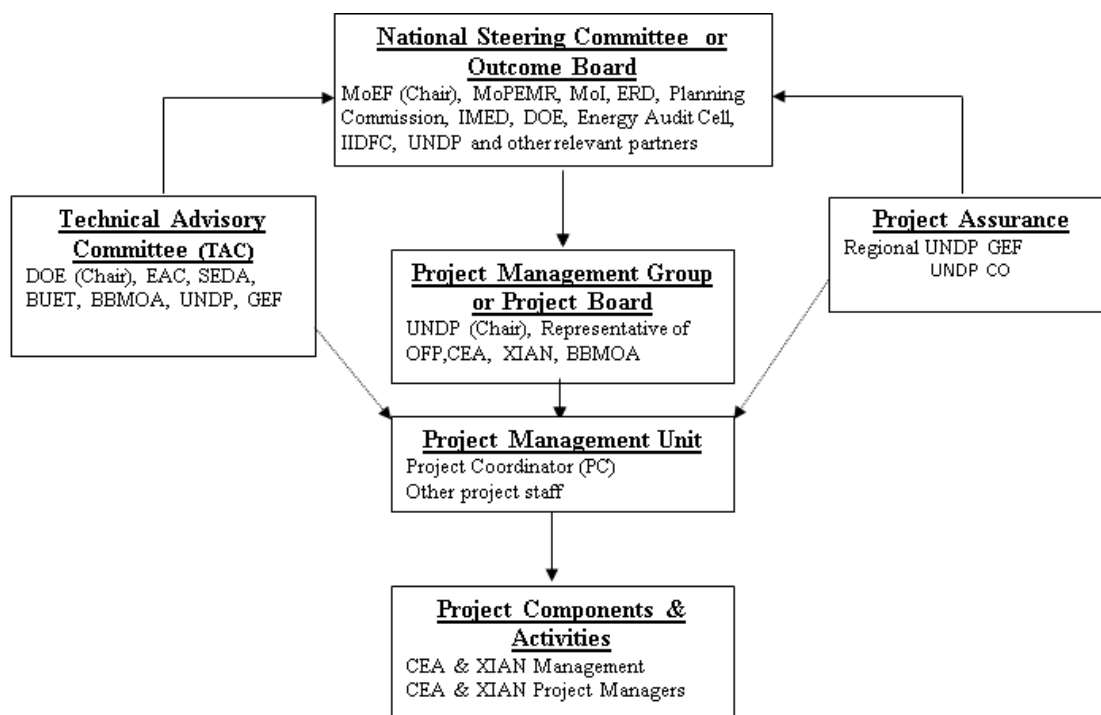


Figure: Project Implementation Arrangement

## EVALUATION APPROACH AND METHOD

An overall approach and method<sup>1</sup> for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluation should include a mixed methodology of document review, interviews, and observations from project site visits, at minimum, and the evaluators should make an effort to triangulate information. 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 (<http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>). A set of questions covering each of these criteria have been drafted and are included with this TOR (see [Annex C](#)) The evaluator

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

is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region, project partner, sub-contractors and key stakeholders. Interviews will be held with the following organizations and individuals at a minimum: Ministry of Environment and Forests (MoEF), Ministry of Planning, Ministry of Industries, Sustainable and Renewable Energy Development Authority (SREDA), Housing and Building Research Institute (HBRI), Bangladesh Bank (BB), Bangladesh Auto Bricks Manufacturers Association (BABMA), Bangladesh Brick Manufacturer Owners Association (BBMOA), relevant NGOs and Research Organizations, workers in the manufacturing industries, and the users (e.g. Local Government Engineering Department, Public Works Department, real estate companies).

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

## EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework ([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](#).

<b>Evaluation Ratings:</b>			
<b>1. Monitoring and Evaluation</b>	<i>rating</i>	<b>2. IA &amp; EA Execution</b>	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation - Implementing Agency (IA)	
M&E Plan Implementation		Quality of Execution - Executing Agency (EA)	
Overall quality of M&E		Overall quality of Implementation / Execution	
<b>3. Assessment of Outcomes</b>	<i>rating</i>	<b>4. Sustainability</b>	<i>rating</i>
Relevance		Financial resources	
Effectiveness		Socio-political	
Efficiency		Institutional framework and governance	
Overall Project Outcome Rating		Environmental	
		Overall likelihood of sustainability	

## PROJECT FINANCE / COFINANCE

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

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	0	0	0	0	0	0	0	0
Loans/Concessions								
• In-kind support								
• Other								
Totals								

## MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project successfully mainstreamed other UNDP priorities, including enhanced carrying capacity of the environment and natural resource base and increased access to sustainable energy services resulting human and income poverty reduction, improved governance, the prevention and recovery from natural disasters, and gender. The evaluation will examine the project's contribution to the United Nations Development Assistance Framework (UNDAF).

## IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.<sup>2</sup>

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

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

<sup>2</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](#)

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

## EVALUATION TIMEFRAME

The total duration of the evaluation will be 36 working days over a period of 10 weeks according to the following plan:

Activity	Timing	Completion Date
<b>Preparation</b>	4 working days	Second week of May, 2016
<b>Evaluation Mission</b>	15 working days	First and Second week of June, 2016
<b>Draft Evaluation Report</b>	10 working days	Third and Fourth week of June, 2016
<b>Final Report</b>	7 working days	Third week of July, 2016

## 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.	Evaluator submits to UNDP CO
<b>Presentation</b>	Initial Findings	End of evaluation mission	To project management, Project Board, UNDP CO
<b>Draft Final Report</b>	Full report, (per annexed template) with annexes	Within 2 weeks of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
<b>Final Report*</b>	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

\*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report. See Annex H for an audit trail template.

## TEAM COMPOSITION

The evaluation team will be composed of *one (1) International and one (1) National consultant*. The international consultant will serve as the team leader and will be responsible for finalizing the report. The international consultant will have the overall responsibility for developing the evaluation methodology, leading

the evaluation, and delivering the key products expected from the evaluation, including coordinating the inputs from the national consultant. The national consultant will provide professional back up and support with local consultations, background data and evidence collection, translation, arrangement of local meetings and prepare summary notes. 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.

The International Consultant must present the following qualifications:

- Minimum 10 years of relevant professional experience
- Knowledge of UNDP and GEF and experience working with the GEF or GEF-evaluations
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the targeted focal area(s)
- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART targets and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to Energy and environment.
- Knowledge of Brick Manufacturing Industry will be an added advantage

## EVALUATOR ETHICS

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

## PAYMENT MODALITIES AND SPECIFICATIONS

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*(this payment schedule is indicative, to be filled in by the CO and UNDP GEF Technical Adviser based on their standard procurement procedures)*

%	Milestone
10%	Following submission and approval of the draft Inception Report
30%	Following submission and approval of the 1ST draft terminal evaluation report
60%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

## APPLICATION PROCESS

Applicants are requested to apply online (<http://jobs.undp.org>) by (date). Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact. All candidates should submit a financial proposal, which includes price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs).

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

## DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS

Interested individual Consultants must submit the following documents/information to demonstrate their qualifications:

### (a) Technical Proposal

- (i) Explaining why the candidate as the most suitable for the work
- (ii) Provide a brief methodology on how he/she will approach and conduct the mentioned task
- (iii) Personal P-11 form including past experience in similar projects and at least 3 references

### (b) Financial Proposal

- (i) Contract based on Lump Sum
- (ii) The Consultant will be paid in lump sum contract in monthly basis based on the report of the supervisor if following documents are delivered and accepted:

Sl	Deliverables	Deadline of deliverable	Payment Schedule
1.	Following submission and approval of the inception report	Within 2 weeks before the evaluation mission	10 % of the contracted amount
2.	Following submission and approval of the 1st draft terminal evaluation report	Within 2 Weeks after completion of Evaluation Mission	30 % of the contracted amount
3.	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report	End of the assignment	60% of the contracted amount

### (c) Travel:

Transport will be provided for travelling outside Dhaka as per rules of UNDP

### (d) Evaluation Criteria

Individual Consultant will be evaluated based on the following criteria:

#### Cumulative analysis

When using this weighted scoring method, the award of the contract should be made to the individual Consultant whose offer has been evaluated and determined as:

- a) responsive/compliant/acceptable, and



b) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.

\* Technical Criteria weight; 70%

\* Financial Criteria weight; 30%

Only candidates obtaining a minimum of 70% point in technical criteria would be considered for the Financial Evaluation

<i>Criteria</i>	<i>Weight</i>	<i>Max. Point</i>
<u><i>Technical</i></u>	70%	70
<ul style="list-style-type: none"> <li>• Work experience in relevant technical areas especially private sector development, climate change, energy efficiency and institutional development and/or regulatory aspects</li> </ul>	25%	25
<ul style="list-style-type: none"> <li>• Experience in result based management practice, methodologies as well as applying SMART target based evaluation</li> </ul>	20%	20
<ul style="list-style-type: none"> <li>• Experience in evaluating GEF Funded Project</li> </ul>	15%	15
<ul style="list-style-type: none"> <li>• Relevant Project Evaluation/Review experiences</li> </ul>	10%	10
<u><i>Financial</i></u>	30%	30

## ANNEX A: PROJECT LOGICAL FRAMEWORK

Project Strategy	Success Indicators	Means of Gauging Success	Assumptions
<b>GOAL:</b> Reduction of the growth of GHG emissions from the brick making industry (BMI) in Bangladesh.	<ul style="list-style-type: none"> <li>• GHG emissions reduced by 1,319 ktonnes CO<sub>2</sub> (direct) from 16 EEK demonstrations compared to business-as-usual scenario by end of a 15-year expected service life period of the EEKs.</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of energy savings and GHG emissions reduction from demonstration projects</li> <li>• BERM Program reports</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring and evaluation activities planned under the project are fully supported and implemented</li> <li>• GoB is supportive of the application of EC&amp;EE and EEK technologies in the BMI to reduce air pollution and GHG emissions</li> </ul>
<b>PURPOSE:</b> Removal of barriers that inhibit the adoption of energy efficient kilns and molding techniques by the BMI	<ul style="list-style-type: none"> <li>• Cumulative energy savings from brick kilns by about 683 TJ or 23.3 ktonnes coal by end of project</li> <li>• About 5.5% of the brick kilns (including expected replications) are EEKs by end of project</li> <li>• Average energy cost per unit brick in the BMI is reduced by 2.2% by end of project.</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of energy savings and GHG emissions reduction from demonstration projects</li> <li>• BERM Program reports</li> <li>• Survey of brick makers</li> </ul>	<ul style="list-style-type: none"> <li>• Monitoring and evaluation activities planned under the project are fully supported and implemented</li> <li>• Government policies encouraging energy efficiency and conservation are rigidly enforced</li> <li>• Reliable data on energy savings EEKs and EIKs are available</li> </ul>
<b>OUTCOMES</b>			
<p><b>Component 1: EEK Technology Support Program</b></p> <p>Thorough understanding and appreciation of technology options and their environmental impacts by brick makers, government and other stakeholders</p>	<ul style="list-style-type: none"> <li>• About 4% improvement in the overall specific energy consumption in the BMI by end of project</li> <li>• Two local engineering firms doing business with the BMI each year starting Year 5</li> <li>• 8 brick making companies (i.e., brick makers) submitting reports to</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of energy savings and GHG emissions reduction from demonstration projects</li> <li>• BERM Program reports (brick maker reports and BBMOA/SEDA feedback reports)</li> <li>• Registry of enterprises, which include, among others, data on annual revenues and profits.</li> </ul>	<ul style="list-style-type: none"> <li>• Brick makers are willing and interested in participating and cooperating in the design, development and implementation of the BERM program</li> <li>• Relevant information are made available</li> </ul>

Project Strategy	Success Indicators	Means of Gauging Success	Assumptions
	<p>BBMOA/SEDA each year starting Year 5.</p> <ul style="list-style-type: none"> <li>• 30 feedback reports submitted to brick makers incorporating suggestions for improving energy performance each year starting Year 5.</li> <li>• 250 brick makers planning to develop and implement EEK technology application and EC&amp;EE projects each year starting Year 5.</li> <li>• 250 brick makers implementing EC&amp;EE projects each year starting Year 5.</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of EC&amp;EE projects influenced by the pilot demonstrations under the IKEBMI project.</li> </ul>	
<p><b>Component 2: EEK Demonstration Program</b></p> <p>Establishment of a critical mass of demonstration projects that will provide detailed information of EEK operations, energy savings and environmental impacts to interested brick makers</p>	<ul style="list-style-type: none"> <li>• 16 demonstrations EEK technology application projects established and operational by end of project</li> <li>• <math>4.0 \times 10^6</math> TJ/brick energy consumption for bricks produced in EEKs</li> <li>• At least 50 visitors (researchers, suppliers, other brick makers) visiting the demo project sites each year starting Year 5.</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of demonstration project operations (including reports on plant visits)</li> <li>• Plant coal usage records and tests for the calorific value of coal used</li> <li>• IKEBMI Project M&amp;E reports</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstration projects are fully financially supported by their host companies</li> <li>• Host demo sites allow visitors to visit and/or study the demo project</li> </ul>
<p><b>Component 3: EEK Technical and Management Capacity Building Program</b></p>	<ul style="list-style-type: none"> <li>• Over 60 EEKs installed by end of project</li> <li>• 8 certified operators in the BMI each year starting Year 5.</li> <li>• 2 trained local equipment manufacturers</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of EC&amp;EE projects influenced by the pilot demonstrations under the IKEBMI project.</li> <li>• IKEBMI Project M&amp;E reports</li> </ul>	<ul style="list-style-type: none"> <li>• BMI SMEs are willing to adopt new business methods to adopt cleaner and energy efficient technologies</li> <li>• Relevant information are made available</li> </ul>

Project Strategy	Success Indicators	Means of Gauging Success	Assumptions
Improved local vocational, technical; and managerial capacity to manage and sustain operations of EEKs and EE practices in Bangladesh	<ul style="list-style-type: none"> <li>• producing equipment and/or components for the BMI by end of project</li> <li>• Two trained local engineering firms registered and profitably engaged in the BMI support industry providing technical services by end of project</li> <li>• 16 EC&amp;EE projects developed and proposed by brick makers for funding to the GoB, investors and international donors</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of certified operators by BBMOA/SEDA or the relevant certifying body.</li> <li>• Registry of businesses providing technical services to BMI</li> <li>• Documentation of project proposals prepared and submitted by the brick makers to GoB, investors, international donors, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant personnel are interested and willing to participate in the training and in applying the knowledge/know-how they learn</li> <li>• GoB, private sector investors, and international donors are willing to provide financial support for specific EC&amp;EE projects in the BMI.</li> </ul>
<p><b>Component 4: Communications and Awareness Program</b></p> <p>Enhanced awareness of the public and other stakeholders on EEKs, EE molding practices and EEK brick products</p>	<ul style="list-style-type: none"> <li>• Operational BMI Information Center by end of Year 1</li> <li>• A fully functioning information exchange services program operated by DoE starting one year after the start of the project.</li> <li>• 50 satisfied clients served by the BMI Information Centre each year starting Year 2</li> <li>• Brick maker energy performance rating scheme completed and implemented by mid-Year 2</li> <li>• Ranking of brick makers are considered in the overall business ranking of local SMEs by Year 4.</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of the approved EC&amp;EE awareness-raising program, and the program implementation results and evaluation</li> <li>• BMI awareness surveys indicating positive attitudes towards EEKs</li> <li>• Feedback communications from clients of Information Center</li> <li>• Documentation of the BMI Energy Awards Program</li> <li>• Annual results of the BMI Energy Awards</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant stakeholders and target groups are interested in participating and cooperating in the design, development and implementation of program</li> </ul>
<p><b>Component 5: EEK Finance Support Program</b></p>	<ul style="list-style-type: none"> <li>• At least 12 banks/financial institutions offering loan/credit facilities for</li> </ul>	<ul style="list-style-type: none"> <li>• Survey of bank/finance institutions offering loan/credit facilities for</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant information about local companies are made available, including data on</li> </ul>

Project Strategy	Success Indicators	Means of Gauging Success	Assumptions
<p>Availability of financial and institutional support to encourage SME adoption of energy efficient kilns:</p>	<p>EC&amp;EE projects for BMI SMEs by end of project</p> <ul style="list-style-type: none"> <li>• At least 12 successful EC&amp;EE and EEK projects assisted through bank financing each year starting Year 3</li> <li>• At least 30 business deals between the BMI entities and the bank/financial institutions by the end of the project.</li> </ul>	<p>EC&amp;EE projects of BMI SMEs</p> <ul style="list-style-type: none"> <li>• Documentation of financing agreements</li> <li>• IKEBMI Project M&amp;E reports</li> </ul>	<p>annual revenues and profits</p> <ul style="list-style-type: none"> <li>• Full cooperation of survey respondents is ensured.</li> </ul>
<p>Component 6: EEK Policy Development and Institutional Support Program</p> <p>Promulgation of and compliance to regulations that encourage adoption of energy efficient kilns:</p>	<ul style="list-style-type: none"> <li>• New policies and regulations favorable to EC&amp;EE initiatives in the BMI, together with policy support program implementation, developed, completed and implemented by Year 2.</li> <li>• Strategies and regulations on minimizing land degradation from BMI activities are developed and implemented by Year 3.</li> <li>• About 4.3% of brick kilns in Bangladesh are compliant to set emission standards for brick kiln operations by Year 3.</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of the policies and implementing rules and regulations for EC&amp;EE initiatives in the BMI</li> <li>• Documentation of strategies and regulations on the sustainable use of clay resources</li> <li>• BERM Program reports</li> <li>• IKEBMI Project M&amp;E reports</li> </ul>	<ul style="list-style-type: none"> <li>• Implementing rules and regulations are enforced</li> <li>• Continued GoB support for favorable regulatory regime throughout the project life</li> </ul>

## ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATOR

- Project Document (CEO Endorsement Template, UNDP Related Documents)
- Project Inception Report
- Country Programme Action Plan
- United Nations Development Assistance Framework for Bangladesh
- Advocacy report on “Review and amendments of Brick Manufacturing and Brick Kiln Setting (control) Act, 2013”
- Study report on “Status, Performance, Barriers and Prospects of Existing HHKs”
- Training module on “OHS (Occupation, Health and Safety) and Gender issue in Energy Efficient Environment Friendly Brick Making Industry”
- Project Progress Reports (PIR, Quarterly Progress Reports, Annual Progress Reports)
- Minutes of the Project Board Meetings
- Back to Office Reports / Field Monitoring Reports of UNDP Staffs
- Mid Term Evaluation Report (MTR)
- UNDP Development Assistance Framework (UNDAF)
- UNDP Country Programme Document (CPD)
- UNDP Country Programme Action Plan (CPAP)
- GEF focal area strategic program objectives

## ANNEX C: EVALUATION QUESTION MATRIX

This Evaluation Question/Criteria Matrix must be fully completed/amended by the consultants and included in the TE inception report and 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?</b>			
• Was the project consistent with the main objectives of GEF focal area?	•	•	•
• Was the project aligned with new brick manufacturing and brick kiln act of the country?	•	•	•
• Was the project consistent with the main objectives and key priorities of the government and other stakeholders?	•	•	•
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
• To what extent did the project reduce GHG emission from demonstrations compared to business as usual scenario?	•	•	•
• To what extent did the brick making companies submitting reports to BBMOA/SEDA?	•	•	•
• To what extent did the project enhance awareness of the public and other stakeholders on EEKs, EE molding practices and EEK brick products?		•	•
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>			
• To what extent were project resources used to maximize the results obtained?	•	•	•
• What was the cumulative energy savings from brick kilns?	•	•	•
• What was the project's contribution to reduced average energy cost per unit brick in the BMI?	•	•	•
• To what extent did the project improved local vocational, technical, and managerial capacity to manage and sustain operations of EEKs and EE practices?	•	•	•
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
• To what extent did demonstration EEK technology application projects become operational and sustainable?	•	•	•
• To what extent is there availability of financial and institutional support to encourage SME adoption of energy efficient kilns?	•	•	•

<ul style="list-style-type: none"> <li>• To what extent are stakeholders aware of the project's benefits and invested in sustaining the project results passed the project's closure date?</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
<ul style="list-style-type: none"> <li>• To what extent are there institutional or governance barriers that might hinder the sustainability of project outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b>			
<ul style="list-style-type: none"> <li>• To what extent did the project enable brick makers to develop and implement EEK technology application and EC&amp;EE projects?</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
<ul style="list-style-type: none"> <li>• To what extent did the project enable the promulgation of and compliance to regulations that encourage adoption of energy efficient kilns?</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>



ANNEX D: RATING SCALES

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

#### 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 *place* on *date*

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

<sup>3</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

## ANNEX F: EVALUATION REPORT OUTLINE<sup>4</sup>

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- i. Opening page:
  - Title of UNDP supported GEF financed project
  - UNDP and GEF project ID#s
  - Evaluation time frame and date of evaluation report
  - Region and countries included in the project
  - GEF Operational Program/Strategic Program
  - Implementing Partner and other project partners
  - Evaluation team members
  - Acknowledgements
- ii. Executive Summary
  - Project Summary Table
  - Project Description (brief)
  - Evaluation Rating Table
  - Summary of conclusions, recommendations and lessons
- iii. Acronyms and Abbreviations  
(See: UNDP Editorial Manual<sup>5</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>6</sup>)
    - 3.1 Project Design / Formulation
      - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
      - Assumptions and Risks
      - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
      - Planned stakeholder participation
      - Replication approach
      - UNDP comparative advantage
      - Linkages between project and other interventions within the sector
      - Management arrangements
    - 3.2 Project Implementation

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<sup>4</sup>The Report length should not exceed 40 pages in total (not including annexes).

<sup>5</sup> UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

<sup>6</sup> See ToR Annex D for rating scales. See page 37 of the UNDP-GEF TE Guidance for ratings explanations.

- 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 (\*), and overall (\*)
  - Implementing Agency (UNDP) execution (\*) and Executing Agency execution (\*), overall project implementation/ execution (\*), coordination, and operational issues
- 3.3 Project Results
- Overall results (attainment of objectives) (\*)
  - Relevance (\*)
  - Effectiveness (\*)
  - Efficiency (\*)
  - Country ownership
  - Mainstreaming
  - Sustainability: financial resources (\*), socio-economic (\*), institutional framework and governance (\*), environmental (\*), and overall likelihood (\*)
  - Impact
4. Conclusions, Recommendations & Lessons
- Corrective actions for the design, implementation, monitoring and evaluation of the project
  - Actions to follow up or reinforce initial benefits from the project
  - Proposals for future directions underlining main objectives
  - Best and worst practices in addressing issues relating to relevance, performance and success
5. Annexes
- ToR
  - Itinerary
  - List of persons interviewed
  - Summary of field visits
  - List of documents reviewed
  - Evaluation Question Matrix
  - Questionnaire used and summary of results
  - Evaluation Consultant Agreement Form
  - *Annexed in a separate file: TE audit trail*

## ANNEX G: EVALUATION REPORT CLEARANCE FORM

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

Evaluation Report Reviewed and Cleared by

UNDP Country Office

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

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

UNDP GEF RTA

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

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

## ANNEX H: TE REPORT AUDIT TRAIL TEMPLATE

The following is a template for the evaluator 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 included as an annex in the final TE report.

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

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

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