

# ANNEX A. TERMS OF REFERENCE (TOR)

## TERMS OF REFERENCE

### INTERNATIONAL CONSULTANT FOR TERMINAL EVALUATION OF THE NAMA IN THE CONSTRUCTION SECTOR IN MONGOLIA PROJECT

#### 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 Nationally Appropriate Mitigation Actions in the Construction Sector in Mongolia (PIMS 5315).

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

#### PROJECT SUMMARY TABLE

Project Title:		Nationally Appropriate Mitigation Actions in the Construction Sector in Mongolia	
GEF Project ID:	5630	at endorsement (US\$)	at completion (US\$)
UNDP Project ID:	5315	1,269,863	1,269,863 <sup>1</sup>
Country:	Mongolia	IA/EA own:	
Region:	Asia and the Pacific	Government:	1,445,633.23 <sup>1</sup>
Focal Area:	Climate Change	Other:	
FA Objectives, (OP/SP):	CCM2 for GEF 5: Promote market transformation in the energy efficiency industry and building sector	Total co-financing:	6,900,000
Executing Agency:	Ministry of Construction and Urban Development	Total Project Cost:	8,169,863
Other Partners involved:	Ministry of Environment and Tourism, Energy Regulatory Commission, Construction Development Center	ProDoc Signature (date project began):	June 28, 2016 <sup>2</sup>
		(Operational) Closing Date:	Proposed: December 31, 2019 Actual: December 31, 2019

#### OBJECTIVE AND SCOPE

The project was designed to facilitate market transformation for energy efficiency in the construction sector through the development and implementation of NAMA in Mongolia. This objective will be achieved by removing barriers to increased adoption of energy efficiency technology in construction sector through three components;

- i. establishment of baseline energy consumption and GHG emission in the construction sector
- ii. development and implementation of NAMA in the construction sector
- iii. measuring, reporting and verification (MRV) system for NAMA.

This project was implemented over a 32 months period (originally planned to implement over a 40 months period) and is expected to achieve GHG emission reductions through the displacement of electricity heat generation from coal power plants and CHPs. Direct GHG emission reduction over the lifetime of the project is estimated to be 64,219 tCO<sub>2</sub>e. The estimated range of potential indirect emission reduction is 57,435 to 438,926 tCO<sub>2</sub>e that is cumulative for a 10-year period after.

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.

#### EVALUATION APPROACH AND METHOD

An overall approach and method<sup>3</sup> for conducting project terminal evaluations of 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 have been drafted and are included with this TOR ([Annex C](#)). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a mission to Ulaanbaatar, Mongolia including the field visit the project sites (Erdenedalal soum in Dundgobi Province, Jargalan soum in Gobi-Altai province, Energy Regulatory Commission, Laboratory of Construction Development Center, Mongolian University of Science and Technology). Interviews will be held with the following organizations and individuals at a minimum:

- Ministry of Construction and Urban Development (MCUD)
- Ministry of Environment and Tourism (MET)
- Ministry of Energy (MOE)
- Energy Regulatory Commission
- Construction Development Center
- Local Government Authorities and beneficiaries (Dundgobi and Gobi-Altai aimag)
- Ulemj Khurd LLC, Dundgobi province

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

## 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	50,000							
Loans/Concessions								
• In-kind support	50,000		3,350,000		50,000			
• Other					3,400,000			
Totals	100,000		3,350,000		3,450,000			

## MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

## IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. **Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) establishment of baseline energy consumption and GHG emission in the construction sector, b) development and implementation of NAMA in the construction sector, and/or c) measuring, reporting and verification (MRV) system for NAMA.**

## 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

<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](#)

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- National focal Point for UNFECC
- GGGI
- General Authority for Specialized Inspection (GASI)
- Ulaanbaatar City Government (UB City)
- Housing and Public Utility Authority (HPUA)
- XacBank
- School of Civil Engineering and Architecture, Mongolian University of Science and Technology (MUST);
- Supreme Council of Condominium Associations (SCCA);
- Mongolian Civil Engineers Association (MACE);
- Building Material Manufacturer Association

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual 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 (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](#).

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:	
Environmental Status Impact Improvement			
Environmental Stress Reduction Progress towards stress/status change			
Overall Project Results			

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The principal responsibility for managing this evaluation resides with the UNDP CO in Mongolia. 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 27 days according to the following plan:

Activity	Timing for international consultant	Timing for national consultant	Expected completion date
Preparation	4 days	8 days	Starting from the contract commencement date.
Evaluation Mission	14 days	14 days	After acceptance of inception report
Draft Evaluation Report	7 days	7 days	After the evaluation mission
Final Report	2 days	7 days	After comments and feedback received on draft report.

**DUTY STATION**

The international and national consultants will be home-based and carry out One mission to Ulaanbaatar, Mongolia. It is expected that the mission will be conducted around late November or early December and will not count for more than 14 days in total, which include not more than 5 days of in-country travel. Local travel cost shall be covered by the project based on UNDP policy or UN-EU cost-norm.

**EVALUATION DELIVERABLES**

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP CO
Presentation	Initial Findings	End of evaluation mission	To project management, UNDP CO
Draft Final Report <sup>5</sup>	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to CO, reviewed by RTA, PCJ, GEF OFFs and IP
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

<sup>5</sup> National Consultant must ensure that Draft Report and Final Report are translated into Mongolian language, in order to obtain comments and feedbacks from national counterparts

**TEAM COMPOSITION AND RESPONSIBILITIES**

The evaluation team will be composed of 1 international and 1 national evaluators. The consultants shall have prior experience in evaluating similar projects and possess a demonstrable senior evaluation expertise coherent with the requirements of this assignment. Experience with GEF financed projects is an advantage. The international consultant will be designated as the team leader and will be responsible for finalizing the report. 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.

Both consultants will be responsible for conducting the evaluation as described in this ToR. They will apply the approach and methods proposed in the inception report. The Team members will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs and oral presentations. The Evaluation Team shall collaborate on a single document for each of the four main deliverables (inception report, presentation on preliminary findings, draft report and final report). The Team Leader will be responsible for coordinating the inputs and ensuring all deadlines are met; the National Consultant will be responsible for local-level engagement.

The Team Leader is expected to:

- Lead, organize, and supervise the work of the Evaluation Team, ensuring a division of labour that is commensurate with the skills profiles of the individual team members. He/she will have overall responsibility to produce deliverables, the evaluation report, and is ultimately accountable for its quality.

Specifically, the international expert (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.

The National Consultant is expected to:

- lead the organization and facilitation of meetings and discussions with key stakeholders.
- ensure that all deliverables are translated and available in English and Mongolian languages.

Specifically, the national expert 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 evaluation 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.

## QUALIFICATIONS OF THE SUCCESSFUL EVALUATORS

The international consultant must present the following qualifications.

### For International Consultant (Team Leader)

- Advance university degree (Master's) in project management, energy efficiency, construction, climate change, environmental sciences or relevant fields.
- At least ten (10) years of international experience in the areas of project development, implementation, and evaluation for donor-funded development projects in developing countries.
- Recent experience with results-based management evaluation methodologies;
- Demonstrated experience working with the GEF or GEF-evaluations;
- Demonstrated experience from evaluations of similar types of GEF financed projects, using guidance and approaches proposed by UNDP and the GEF.
- Project evaluation/review experiences within United Nations system will be considered an asset;
- Work experience in climate change mitigation, energy efficiency projects in developing countries in Asia is an advantage;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios; Experience applying participatory monitoring approaches;
- Good interpersonal and analytical skills and ability to work under diverse/varied cultural environments;
- Demonstrated command over writing professional reports in English.

## 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 [UNEP 'Ethical Guidelines for Evaluations'](#)

## PAYMENT MODALITIES AND SPECIFICATIONS

%	Milestone
10%	Upon receiving and accepting inception report
40%	Following submission and approval of the IST draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report