

# Terminal Evaluation Terms of Reference (ToR) for UNDP-supported GEF-financed projects

Achieving Low Carbon Growth in Cities through Sustainable Urban Systems  
Management in Thailand

## **BASIC CONTRACT INFORMATION**

**Location:** Bangkok, Khon Kaen, Nakorn Ratchasima, Samui and Chiang Mai provinces in Thailand

**Type of Contract:** National Terminal Evaluation (TE) Consultant (Individual Consultant)

**Assignment Type:** Short-term

**Languages Required:** English

**Starting Date:** 19 April 2021

**Duration of Initial Contract:** 33 working days

**Expected Duration of Assignment:** 19 April 2021 – 25 June 2021

## **BACKGROUND**

### **1. Introduction**

**UNDP Thailand Country Office is looking for a National Consultant who will work together with an international consultant in conducting the Terminal Evaluation (thereafter referred to as the “Evaluation Team”).**

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) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the full-sized project titled Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand (PIMS 4778) implemented through the Thailand Greenhouse Gas Management Organization (TGO). The project started on the 26 April 2017 and is in its final year of implementation. The TE process must follow the guidance outlined in the document ‘Guidance For Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects’ ([Guidance for Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects](#)).

### **2. Project Description**

Thailand’s 12th National Economic and Social Development Plan (2017-2021) sets a vision in moving Thailand towards a low carbon and climate resilient society and promotes sustainable economic and social growth that is environmentally friendly. Important steps have been taken to pave the way for low carbon and climate resilient society, but local authorities especially municipalities are faced with a range of challenges on low carbon urban development. Rapid economic development, urbanization and climate change pose a threat to the management of municipalities/cities in a sustainable way. In

support of the Royal Thai Government and the local administration, UNDP Thailand designed a country-led intervention on strengthening the capacities and processes at local level for bottom-up integrated low carbon development planning and the sustainable management of low carbon development projects.

The Achieving Low Carbon Growth in Cities through sustainable Urban Systems Management in Thailand (LCC) Project aims to strengthen the capacities and processes at local level for bottom-up integrated low carbon development planning and the implementation and sustainable management of low carbon development projects. The 4-year project (2016-2220) focuses on low carbon urban systems, in particular waste management and sustainable transport, in 4 cities, while experiences will be shared with other cities to learn from.

The project objective is to “promote sustainable urban systems management in selected cities to achieve low carbon growth.” The objective will be achieved by removing barriers to adoption of low carbon development in cities in Thailand through the following components:

- a) Low carbon sustainable urban development planning in 4 cities, which will enable them to formulate and implement low carbon sustainable urban development plans
- b) Low carbon investments in 4 cities leading to more energy efficient urban systems
- c) Financial incentives and institutional arrangements to increase volume of investments in energy efficient urban systems by government and private sector

The project is financially supported by the Global Environment Facility (GEF), with the Thailand Greenhouse Gas Management Organization (TGO) Public Organization, as the Implementing Partner. The total GEF-supported funding is US\$ 3,150,000.

#### Project Implementation Period Extension

Due to the peak of the Covid-19 outbreak in Thailand during March-May 2020, strict social distancing measures were applied, and the emergency decree has been enforced nationwide since April 2020. Several measures to respond to the coronavirus infections outbreak has been enforced such as social distancing, work-from-home, restricted travel across the provinces and borders. The project team including UNDP, the implementing partners, consultants and the partner cities cannot perform their tasks efficiently during the lock-down. In June, the restriction on traveling and social distancing were gradually released.

All parties have tried their best to resume activities under given conditions. However, the key pending activities are still behind the original plan, particularly those involved with in person meetings and workshops in Outcome 2.1-- capacity building and raise awareness and the technical wrap up.

In addition, the Ministry of Natural Resources and Environment is scheduled to organize the Thailand Climate Action Conference (i.e., Thailand COP) in June 2021 where the project’s low carbon cities activities will be featured as part of the conference. TGO is leading the preparation of these activities and has requested UNDP support for that.

A 3-month project implementation period extension was granted to enable the project to continue working on targeted activities to ensure the achievement of its project objective and respective outcomes as well as the sustainability of impact. The extension period from 27 April 2021 to 31 July 2021 will compensate for the delayed activities during the Covid-19 outbreak. The extension was endorsed by the project board at its recent meeting on 23 September 2020.

### **3. TE Purpose**

The TE report will assess the achievement of project results against what was expected to be achieved, and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency, and assesses the extent of project accomplishments.

The project is entering to the final phase of implementation. The project end date is on 31 July 2021. The Implementing Partner (TGO), Project Board members, and UNDP Thailand Country Office will use the project's evaluation results to ensure effectiveness of exit strategy during the 3-month project extension and take away key recommendations to embed into Thailand Greenhouse Gas Management Organization's operational strategy which supports implementation of Thailand climate action.

Further to this, the objectives of the evaluation will be to:

- assess the achievement of project results supported by evidence (i.e. progress of project's outcome targets)
- assess the contribution and alignment of the project to relevant environmental management plans and integrated low carbon development planning
- assess the contribution of the project results towards the relevant outcome and output of the Country Programme Document for Thailand (2017-2021) and recommendations on the way forwards
- assess any cross cutting and gender issues
- assess impact of the project in terms of its contribution to, or enabled progress toward reduced environmental stress
- examination on the use of funds [both GEF and non-GEF (co-financing) financial resources of the project] and value for money and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

## **DUTIES AND RESPONSIBILITIES**

### **4. TE Approach & Methodology**

The TE must provide evidence-based information that is credible, reliable and useful.

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisors, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to; executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc. The national TE consultant may require conducting field missions to: Bangkok, Khon Kaen, Nakorn Ratchasima, Samui and Chiang Mai provinces in Thailand subject to travel restriction on COVID-19.

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

#### **List of Stakeholders**

##### **Bangkok:**

- 1) Thailand Greenhouse Gas Management Organization (TGO) Public Organization
- 2) United Nations Development Programme Thailand
- 3) Bright Management Consulting
- 4) Chulalongkorn University
- 5) UNDP Thailand and UNDP-NCE Energy Team

##### **Project Site:**

- 6) Koh Samui Municipality

- 7) Chiangmai Municipality
- 8) School of Public Policy, Chiang Mai University
- 9) Khon Kaen Municipality
- 10) College of Local Administration, Khon Kaen University
- 11) Nakorn Ratchasima Municipality
- 12) Other project consultants and local counterparts as appropriate

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation should be clearly outlined in the inception report and be fully discussed and agreed between UNDP, stakeholders and the TE team.

The final TE report should describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

In case the International TE consultant is not able to enter Thailand due to the COVID-19 VISA protocol, the TE team should develop a methodology for carrying out the tasks remotely. This could include virtual interviews and extended desk reviews, data analysis, email or web-based 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 work will 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 governments and national and pilot site counterparts may be working from home. These limitations must be reflected in the final TE report.

## **5. Detailed Scope of the TE**

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see TOR Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects ([Guidance for Conducting Terminal Evaluation of UNDP-Supported, GEF-Financed Projects](#)).

The Findings section of the TE report will cover the topics listed below.

A full outline of the TE report's content is provided in ToR Annex C.

The asterisk “(\*)” indicates criteria for which a rating is required.

## Findings

### i. Project Design/Formulation

- National priorities and country driven
- Theory of Change
- Gender equality and women’s empowerment
- Social and Environmental Safeguards
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

### ii. Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (\*), implementation (\*), and overall assessment of M&E (\*)
- Implementing Agency (UNDP) (\*) and Executing Agency (\*), overall project oversight/implementation and execution (\*)
- Risk Management, including Social and Environmental Standards

### iii. Project Results

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (\*), Effectiveness (\*), Efficiency (\*) and overall project outcome (\*)
- Sustainability: financial (\*), socio-political (\*), institutional framework and governance (\*), environmental (\*), overall likelihood of sustainability (\*)
- Country ownership
- Gender equality and women’s empowerment
- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to impact

iv. Main Findings, Conclusions, Recommendations and Lessons Learned

- The TE team shall present the review findings of the TE in the TE report. Findings should be presented as statements of fact and described based on actual data or the result of the analysis of actual data.
- The section on conclusions shall be included based on the findings. Conclusions should be described comprehensively based on well substantiated by evidence and logically connected to the TE findings. These should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women’s empowerment.
- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be addressing the review findings and conclusions.
- The TE report should also include lessons learned from the project implementation, as well as best and worst practices in addressing issues relating to relevance, performance and success. These are lessons learned from project management, decision making, and implementation at different situations and circumstances (e.g., strategies and methods used, partnerships, financial leveraging, etc.) that can be applicable in the implementation of other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to include findings in the project design and implementation related to gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown below (or see Annex F).

**ToR Table 2: Evaluation Ratings Table for “Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand” Project**

Monitoring & Evaluation (M&E)	Rating <sup>1</sup>
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	

<sup>1</sup> Outcomes, Effectiveness, Efficiency, M&E, I&E Execution, Relevance are rated on a 6-point rating scale: 6 = Highly Satisfactory (HS), 5 = Satisfactory (S), 4 = Moderately Satisfactory (MS), 3 = Moderately Unsatisfactory (MU), 2 = Unsatisfactory (U), 1 = Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4 = Likely (L), 3 = Moderately Likely (ML), 2 = Moderately Unlikely (MU), 1 = Unlikely (U)

Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	
Sustainability	Rating
Financial resources	
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

## 6. Expected Outputs and Deliverables

The TE *consultant/team* shall prepare and submit:

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	TE team clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE mission: <b>by 23April</b>	TE team submits Inception Report to Commissioning Unit and project management
2	Presentation	Initial Findings	End of TE mission: <b>by 3 May</b>	TE team presents to Commissioning Unit and project management
3	Draft TE Report	Full draft report ( <i>using guidelines on report content in ToR Annex C</i> ) with annexes	Within 3 weeks of end of TE mission: <b>by 19 May</b>	TE team submits to Commissioning Unit; reviewed by BPPS-GEF RTA, Project Coordinating Unit, GEF OFP
4	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 ( <i>See template in ToR Annex H</i> )	Within 1 week of receiving comments on draft report: <b>by 14 June</b>	TE team submits both documents to the Commissioning Unit

\*The final TE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.<sup>2</sup>

## 7. TE Arrangements

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is the UNDP Thailand Country Office. The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the TE team, if the travel is permitted. The Project Team will be responsible for liaising with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

The UNDP Thailand Country Office and Project Team will provide logistic support in the implementation of remote/ virtual meetings if travel to project site is restricted. An updated stakeholder list with contact details (phone and email) will be provided by the UNDP Thailand Country Office to the TE team. The TE offer shall be all inclusive of cost of travelling.

## 8. Duration of the Work

The total duration of the TE will be approximately 33 working days over a time period starting **19 April 2021** and shall not exceed five months from when the TE team is hired. The tentative TE timeframe is as follows:

Timeframe	Activity
29 March-14 April 2021	Selection of TE team
19-20 April 2021 (2 days)	Preparation period for TE team (handover of documentation)
19-23 April 2021 (5 days)	Document review and preparation of TE Inception Report
23 April 2021 (1 day)	Finalization and Validation of TE Inception Report; latest start of TE mission
23-30 April 2021 (6 days)	TE mission: stakeholder meetings, interviews, field visits, etc.
3 May 2021 (1 day)	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission
4-19 May 2021 (12 days)	Preparation of draft TE report
20-25 May 2021 (4 days)	Circulation of draft TE report for comments
26 May-4 June 2021 (6 days)	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
9 June 2021 (1 day)	Preparation and Issuance of Management Response
10 June 2021 (1 day)	Concluding Stakeholder Workshop (optional)

<sup>2</sup> Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

14 June 2021 (1 day)	Expected date of full TE completion
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Options for site visits should be provided in the TE Inception Report. The expected date start date of contract is 19 April – 25 June 2021.

## 9. Duty Station

The duty station is Bangkok-based with travels to the project sites. The National Consultant will travel to the project sites in Khon Kaen, Nakorn Ratchasima, Samui and Chiang Mai Provinces in order to interview the local stakeholders and beneficiaries. Also, the National Consultant will interview the stakeholders in Bangkok as per the list provided by the UNDP Thailand Country Office. The team's travel plan shall be adjusted based on travel restrictions of the government and UNDP, subject to the approval of the UNDP Thailand Resident Representative.

### Travel:

- The BSAFE course must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under: <https://dss.un.org/dssweb/>

## REQUIRED SKILLS AND EXPERIENCE

### 10. TE Team Composition and Required Qualifications

A team of *two independent evaluators* will conduct the TE – *one international team leader (with experience and exposure to projects and evaluations in other regions) and one national expert from Thailand*. The international consultant will be designated as the team leader and will be responsible for the overall design and writing of the TE report. The national consultant will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the TE itinerary, etc.

The national consultant will work closely with the International Consultant in supporting any work that needs to be undertaken as laid out in this ToR, and other tasks, as required. The National Consultant will also act as a focal point for coordinating and working with relevant stakeholders in Thailand. In the case of international travel restriction and the mission is not possible, the TE team will use alternative means of interviewing stakeholders and data collection (i.e. Skype interview, mobile questionnaires, etc.) including the field visit by the National Consultant under the International Consultant's guidance.

The evaluator(s) cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.

The selection of national consultant will be aimed at maximizing the overall "team" qualities in the following areas:

### Education

- At least a Master's degree in urban planning, environmental studies, social development, public policy, and/ or other related fields;

### Experience

- Minimum of two (2) years of supporting project evaluation and/or implementation experience using the result-based management framework and adaptive management;
- 1 year experience Thailand national and local development policies, programs and projects related to low carbon development, energy, and climate change, and public administration process;
- Similar project management experience in urban management, urban climate resilience, energy, waste management, transport management, low carbon development will be an advantage;
- Proven evaluation skills, including conducting interviews, focus group discussions, desktop research, qualitative and quantitative analysis;
- Excellent command of English and Thai, both writing and speaking. Some knowledge of UNDP or GEF Monitoring and Evaluation Policy will be an advantage;
- Relevant experience with results-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to *Climate Change Mitigation*;
- Experience in evaluating projects;
- Experience working in *Thailand*;
- Experience in relevant technical areas for at least *5 years*;
- Demonstrated understanding of issues related to gender and *Climate Change Mitigation*; experience in gender responsive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experience within United Nations system will be considered an asset;
- Experience with implementing evaluations remotely will be considered an asset.

### Language

- Fluency in written and spoken English.

### Responsibilities

- Documentation review and data gathering
- Contributing to the development of the review plan and methodology
- Conducting those elements of the evaluation as determined jointly with the international consultant and UNDP
- Contributing to presentation of the review findings and recommendations at the wrap-up meeting
- Contributing to the drafting and finalization of the review report

## 11. Evaluator Ethics

The TE team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

## 12. Payment Schedule

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%

- The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

*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.*

## **APPLICATION PROCESS**

### 13. Scope of Price Proposal and Schedule of Payments

#### **Financial Proposal:**

- Financial proposals must be “all inclusive” and expressed in a lump-sum for the total duration of the contract. The term “all inclusive” implies all cost [professional fees, travel costs (Bangkok to Project Sites, land transport/trip, number of accommodation per night), living allowances etc.];
- For duty travels, the UN’s Daily Subsistence Allowance (DSA) rates are Khon Kaen, Nakorn Ratchasima, Samui and Chiang Mai, which should provide indication of the cost of living in a duty station/destination (*Note: Individuals on this contract are not UN staff and are therefore not entitled to DSAs. All living allowances required to perform the demands of the ToR must be incorporated in the financial proposal, whether the fees are expressed as daily fees or lump sum amount.*)
- The lump sum is fixed regardless of changes in the cost components.

### 14. Recommended Presentation of Proposal

- a) **Letter of Confirmation of Interest and Availability** using the template provided by UNDP;
- b) **CV** and a **Personal History Form** (P11 form);
- c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, a proposed methodology on how they will approach and complete the assignment, and comments and/or suggestions regarding the scope of work in the TOR to make the evaluation more robust, comprehensive, and useful; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc.), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

### 15. Criteria for Selection of the Best Offer

Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

#### **Technical Evaluation Criteria for National Candidates (Maximum 70 points):**

- Criteria-01: At least a Master’s degree in urban planning, environmental studies, social development, public policy, and/ or other related fields - **Max Point 5**;
- Criteria-02: Minimum of two (2) years of supporting project evaluation and/or implementation experience using the result-based management framework and adaptive management - **Max Point 25**;
- Criteria-03: Similar project management experience in urban management, urban climate resilience, energy, waste management, transport management, low carbon development will be an advantage - **Max Point 25**;
- Criteria-04: Proven evaluation skills, including conducting interviews, focus group discussions, desktop research, qualitative and quantitative analysis - **Max Point 10**;
- Criteria-05: Demonstrated understanding of issues related to gender and community-based management - **Max Point 5**.

### **Financial Evaluation (Total 30 marks)**

All technical qualified proposals will be scored out 30 based on the formula provided below. The maximum points (30) will be assigned to the lowest financial proposal. All other proposals received points according to the following formula:

$$p = y (\mu /$$

Where:

- p = points for the financial proposal being evaluated;
- y = maximum number of points for the financial proposal;
- $\mu$  = price of the lowest priced proposal;
- z = price of the proposal being evaluated.

## **16. Annexes to the TE ToR**

- ToR Annex A: Project Logical/Results Framework
- ToR Annex B: Project Information Package to be reviewed by TE team
- ToR Annex C: Content of the TE report
- ToR Annex D: Evaluation Criteria Matrix template
- ToR Annex E: UNEG Code of Conduct for Evaluators
- ToR Annex F: TE Rating Scales and TE Ratings Table
- ToR Annex G: TE Report Clearance Form
- ToR Annex H: TE Audit Trail template
- Annex in a separate file: Relevant TE tracking tools
- Annexed in a separate file: GEF Co-financing template (categorizing co-financing amounts by source as ‘investment mobilized’ or ‘recurrent expenditure’)

**Approved by** \_\_\_\_\_

**Lovita Ramguttee, Deputy Resident Representative, UNDP Thailand**

**Date:** \_\_\_\_\_

## ToR Annex A: Project Logical/Results Framework

<b>This project will contribute to achieving the following Country Programme Outcome as defined in UNPAF 2012-2016/CP 2012-2016:</b>	Thailand is better prepared to coherently address climate change and environmental security issues through the enhancement of national capacity and policy readiness.
<b>Country Programme Outcome Indicators:</b>	Indicator 1.1: Number of policies and plans relating to renewable energy and energy efficiency technology issues approved, integrated and implemented by relevant government agencies at various levels.
<b>Primary applicable Key Environment and Sustainable Development Key Result Area:</b>	1. Mainstreaming environment and energy and 2. Catalysing environmental finance
<b>Applicable GEF Strategic Objective and Program:</b>	Promote Energy Efficient, Low-Carbon Transport and Urban Systems
<b>Applicable GEF Expected Outcomes:</b>	Sustainable transport and urban policy and regulatory frameworks adopted and implemented; Increased investment in less-GHG intensive transport and urban systems; GHG emissions avoided
<b>Applicable GEF Outcome Indicators:</b>	Number of cities adopting sustainable transport and urban policies and regulations; Volume of investment mobilized; Tonnes of CO <sub>2</sub> equivalent avoided.

	<b>Indicator<sup>3</sup></b>	<b>Baseline</b>	<b>Targets End of Project</b>	<b>Source of verification</b>	<b>Risks and Assumptions</b>
<b>Project Goal:</b> Reduction of future GHG emissions from cities in Thailand	Cumulative direct GHG emission reductions resulting from the technical assistance and investments by end-of-project (tCO <sub>2</sub> eq.)	0	177,708	Project final report Annual monitoring reports from the PMU and participating cities	Economic growth in the country will continue. Central and local government support for low carbon development will continue
<b>Project objective:</b> Promotion of sustainable urban systems management in Khon Kaen, Nakorn Ratchasima, Samui and Klaeng to achieve low carbon growth	Cumulative direct fuel savings resulting from the technical assistance and investments in the transport sector in the 4 participating cities by EOP (GJ)	0	788,093 <sup>4</sup>	Project final report Annual monitoring reports from the PMU and participating cities	Economic growth in the country will continue, Central and local Government support for low carbon development will continue
	Annual amount of waste gainfully used (recycled, composted, anaerobically)	46,272	389,352 <sup>5</sup>	Project final report Annual monitoring reports	Economic growth in the country will continue,

<sup>3</sup> Unless otherwise stated, indicators apply to participating cities only.

<sup>4</sup> Based on the direct savings in the use of diesel and gasoline achieved by the investments and technical assistance in the 4 project cities till end of the project. For details on fuel savings and GHG emission reduction calculations see Annex II.

<sup>5</sup> Based on the target annual amount of waste anaerobically digested in NR, composted in KK and Samui, recycled in NR, KK, Samui and Klaeng and used for waste-to-energy in NR and KK by EOP. For details on waste management targets and GHG emission reduction calculations see Annex II and paragraph 1.5.

	Indicator <sup>3</sup>	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	digested or for waste-to-energy) in the 4 participating cities by EOP (tonnes/year)			from the PMU and participating cities	Central and local Government support for low carbon development will continue
	Total number of new green jobs created in the waste management sector and sustainable transport sector in the cities by EOP	0	40 <sup>6</sup>	Project final report Annual monitoring reports from the PMU and participating cities	Economic growth in the country will continue. Central and local government support for low carbon development will continue
<b>Outcome 1.1:</b> Increased number of Thai cities that have formulated and implemented low carbon sustainable urban development plans	No. of cities that have approved and adopted low carbon development plans by 2017	0 <sup>7</sup>	4	Project reports	Continued cities and government support for low carbon development
	Percentage of participating cities where evidence-based low carbon planning is integrated with normal urban development planning processes by EOP	0%	100%	Local development plans of the cities and Strategic Action Plans	Cities will complete a planning cycle during the project (planning cycle is usually 3 years)
	No. of cities which have completed carbon footprints in selected sectors and have institutionalized the process by 2018	0 <sup>8</sup>	4	Project reports, Inventory reports	
<b>Outcome 1.2:</b> Increased number of Thai cities with energy efficient urban systems	No. of low carbon demonstration projects implemented as a result of technical and investment assistance in participating cities by EOP	0	19 <sup>9</sup>	Project reports, commissioning reports	-There is adequate administrative and logistical support from the government in the timely implementation of low carbon urban projects.
	No. of low carbon projects designed based on or influenced by the results of the demonstration projects and the low carbon city plans by EOP	0	8 <sup>10</sup>	Project reports	-Negative experiences with low carbon investments in other places will not negatively influence the

<sup>6</sup> For the target it is assumed that in each of the 4 cities at least 10 additional green jobs are created in the waste management sector and sustainable transport sector.

<sup>7</sup> Khon Kaen has currently a low carbon action plan, this is however a stand-alone plan not completely integrated with its local development plan. Other cities don't have a low carbon action plan or a local development plan in which low carbon considerations are integrated.

<sup>8</sup> KK and Klaeng have done some calculations on GHG emissions within the city in the past, but this covers only a few sectors and is not very robust.

<sup>9</sup> For the complete list of all low carbon projects, see annex II.

<sup>10</sup> It is assumed that during the project in each city two additional low carbon interventions/activities will be identified and implemented as result of the work done under the project (either following the example of the demonstration projects, or as part of the low carbon development planning cycle).

	Indicator <sup>3</sup>	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
					feasibility of the demonstration projects -Citizens support low carbon development in their cities as a priority compared to other development needs and will use the services -Cities and private sector partners deliver projects according to schedule. -Cities & Government budgets for low carbon investments are replenished
<b>Outcome 2.1:</b> Increased volume of investments in energy efficient urban systems by government and private sector	Total amount of new investment leveraged through local plans of participating cities for low carbon projects by EOP	0	USD 16 million <sup>11</sup>	Project reports	-Cities & Government budgets for low carbon investments are replenished
	No. of new policies facilitating low carbon investments in cities endorsed and approved by line agencies by EOP	0	2 <sup>12</sup>	Project reports, policy recommendations	

<sup>11</sup> It is expected that 2 projects per year per city during the last 2 years of the project (average investment amount per project \$1 million) will be leveraged.

<sup>12</sup> Policy recommendations are envisaged in the following two areas: 1) inclusion of low carbon investment in the performance evaluations (KPIs) of city staff (cooperation with Ministry of Interior), 2) legal revisions in order that cities are able to receive revenues from carbon credit sales (cooperation with Ministry of Interior.)

## ToR Annex B: Project Information Package to be reviewed by TE team

#	Item (electronic versions preferred if available)
1	Project Identification Form (PIF)
2	UNDP Initiation Plan
3	Final UNDP-GEF Project Document with all annexes
4	CEO Endorsement Request
5	UNDP Social and Environmental Screening Procedure (SESP) and associated management plans (if any)
6	Inception Workshop Report
7	Mid-Term Review report and management response to MTR recommendations
8	All Project Implementation Reports (PIRs)
9	Progress reports (quarterly, semi-annual or annual, with associated workplans and financial reports)
10	Oversight mission reports
11	Minutes of Project Board Meetings and of other meetings (i.e. Project Appraisal Committee meetings)
12	GEF Tracking Tools (from CEO Endorsement, midterm and terminal stages)
13	GEF/LDCF/SCCF Core Indicators (from PIF, CEO Endorsement, midterm and terminal stages); for GEF-6 and GEF-7 projects only
14	Financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
15	Co-financing data with expected and actual contributions broken down by type of co-financing, source, and whether the contribution is considered as investment mobilized or recurring expenditures
16	Audit reports
17	Electronic copies of project outputs (booklets, manuals, technical reports, articles, etc.)
18	Sample of project communications materials
19	Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants
20	Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities
21	List of contracts and procurement items over ~US\$5,000 (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)
22	List of related projects/initiatives contributing to project objectives approved/started after GEF project approval (i.e. any leveraged or "catalytic" results)
23	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available
24	UNDP Country Programme Document (CPD)
25	List/map of project sites, highlighting suggested visits
26	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted
27	Project deliverables that provide documentary evidence of achievement towards project outcomes

## ToR Annex C: Content of the TE report

- i. Title page
  - Title of UNDP-supported GEF-financed project
  - UNDP PIMS ID and GEF ID
  - TE timeframe and date of final TE report
  - Region and countries included in the project
  - GEF Focal Area/Strategic Program
  - Executing Agency, Implementing partner and other project partners
  - TE Team members
- ii. Acknowledgements
- iii. Table of Contents
- iv. Acronyms and Abbreviations
1. Executive Summary (3-4 pages)
  - Project Information Table
  - Project Description (brief)
  - Evaluation Ratings Table
  - Concise summary of findings, conclusions and lessons learned
  - Recommendations summary table
2. Introduction (2-3 pages)
  - Purpose and objective of the TE
  - Scope
  - Methodology
  - Data Collection & Analysis
  - Ethics
  - Limitations to the evaluation
  - Structure of the TE report
3. Project Description (3-5 pages)
  - Project start and duration, including milestones
  - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
  - Problems that the project sought to address: threats and barriers targeted
  - Immediate and development objectives of the project
  - Expected results
  - Main stakeholders: summary list
  - Theory of Change
4. Findings  
(in addition to a descriptive assessment, all criteria marked with (\*) must be given a rating<sup>13</sup>)
  - 4.1 Project Design/Formulation
    - Analysis of Results Framework: project logic and strategy, indicators
    - Assumptions and Risks

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<sup>13</sup> See ToR Annex F for rating scales.

- Lessons from other relevant projects (e.g. same focal area) incorporated into project design
  - Planned stakeholder participation
  - Linkages between project and other interventions within the sector
- 4.1 Project Implementation
- Adaptive management (changes to the project design and project outputs during implementation)
  - Actual stakeholder participation and partnership arrangements
  - Project Finance and Co-finance
  - Monitoring & Evaluation: design at entry (\*), implementation (\*), and overall assessment of M&E (\*)
  - UNDP implementation/oversight (\*) and Implementing Partner execution (\*), overall project implementation/execution (\*), coordination, and operational issues
- 4.2 Project Results
- Progress towards objective and expected outcomes (\*)
  - Relevance (\*)
  - Effectiveness (\*)
  - Efficiency (\*)
  - Overall Outcome (\*)
  - Country ownership
  - Gender
  - Other Cross-cutting Issues
  - Social and Environmental Standards
  - Sustainability: financial (\*), socio-economic (\*), institutional framework and governance (\*), environmental (\*), and overall likelihood (\*)
  - Country Ownership
  - Gender equality and women's empowerment
  - Cross-cutting Issues
  - GEF Additionality
  - Catalytic Role / Replication Effect
  - Progress to Impact
5. Main Findings, Conclusions, Recommendations & Lessons
- Main Findings
  - Conclusions
  - Recommendations
  - Lessons Learned
6. 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

## ToR Annex D: Evaluation Criteria Matrix template

<b>Evaluative Criteria Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities a the local, regional and national level?			
<i>(include evaluative questions)</i>	<i>(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)</i>	<i>(i.e. project documentation, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)</i>	<i>(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)</i>
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, socio-political, and/or environmental risks to sustaining long-term project results?			
Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment?			
Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status?			
<i>(Expand the table to include questions for all criteria being assessed: Monitoring &amp; Evaluation, UNDP oversight/implementation, Implementing Partner Execution, cross-cutting issues, etc.)</i>			

## ToR Annex E: UNEG Code of Conduct for Evaluators

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

### Evaluators/Consultants:

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.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

### Evaluation Consultant Agreement Form

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

Name of Evaluator: \_\_\_\_\_

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: \_\_\_\_\_

## ToR Annex F: TE Rating Scales & Evaluation Ratings Table

<b>TE Rating Scales</b>	
<b>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, Implementation/Oversight, Execution, Relevance</b>	<b>Sustainability ratings:</b>
6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings 5 = Satisfactory (S): meets expectations and/or no or minor shortcomings 4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings 3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings 2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings 1 = Highly Unsatisfactory (HU): severe shortcomings Unable to Assess (U/A): available information does not allow an assessment	4 = Likely (L): negligible risks to sustainability 3 = Moderately Likely (ML): moderate risks to sustainability 2 = Moderately Unlikely (MU): significant risks to sustainability 1 = Unlikely (U): severe risks to sustainability Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability

<b>Evaluation Ratings Table</b>	
Monitoring & Evaluation (M&E)	Rating <sup>14</sup>
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	

<sup>14</sup> Outcomes, Effectiveness, Efficiency, M&E, I&E Execution, Relevance are rated on a 6-point rating scale: 6 = Highly Satisfactory (HS), 5 = Satisfactory (S), 4 = Moderately Satisfactory (MS), 3 = Moderately Unsatisfactory (MU), 2 = Unsatisfactory (U), 1 = Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4 = Likely (L), 3 = Moderately Likely (ML), 2 = Moderately Unlikely (MU), 1 = Unlikely (U)

Sustainability	Rating
Financial resources	
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

## ToR Annex G: TE Report Clearance Form

**Terminal Evaluation Report for** *(Project Title & UNDP PIMS ID)* **Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

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

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

**Regional Technical Advisor (Nature, Climate and Energy)**

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

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

## ToR 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