



TERMS OF REFERENCE (TOR)

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| Title: | 01 International Consultant and 01 National Consultant for Terminal Evaluation Report |
| Type of contract: | Individual contract |
| Duration & timing: | May – August 2021 - International consultant: 20 days (completed by 31 August 2021) - National consultant: 25 days (completed by 31 August 2021) |
| Duty station: | Homebased with possible travel to Ha Noi and provinces (based on travel possibilities) |

BACKGROUND

1. Introduction

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the *full- or medium-sized* project titled **Application of GC in Vietnam to support Green Growth and reduction in the use and release of POPs/harmful chemicals Project** (PIMS 5723) implemented through the Vietnam Chemicals Agency (VINACHEMIA)/Ministry of Industry and Trade (MOIT). The project started on the 4th January 2018 and is in its 4 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’¹

2. Project Background and Context

The project aims to create the enabling environment for the introduction of Green Chemistry in Viet Nam and introduce Green Chemistry applications in productive sectors with the purpose of reducing the use and release of chemicals controlled under Stockholm and Minamata Conventions. The project also expects to result in a reduction in the use and release of chemicals of concern not covered under the MEAs, as well as improve energy and natural resource efficiency and generate Green House Gas (GHG) release reduction co-benefits in the sectors and industries supported by the project.

The project will reduce the use of Persistent Organic Pollutants (POPs) and release of Unintentional Persistent Organic Pollutants (U-POPs) through the introduction of green chemistry approach in six industrial sectors in Viet Nam: chrome plating, pulp and paper manufacturing, plastic manufacturing, textile, pesticides and solvents. Specific guidance for each sector will be developed, and the green chemistry approach will be streamlined into the relevant legislation. Two industrial facilities from 2 different sectors (out of the above six sectors) will be selected for the practical demonstration of the green chemistry approach. The project is structured in 3 components:

1. Developing the enabling environment for Green Chemistry in Viet Nam;

¹ http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf

2. Promote awareness on Green Chemistry and the benefits of the application of Green Chemistry and its guiding principles; and,
3. Introduce Green Chemistry approaches into priority sectors and at least 2 entities.

The specific project objectives are: (i) To create the enabling environment for the application of Green Chemistry in Vietnam; (ii) to introduce Green Chemistry applications and benefit to decision makers, public and industrial sectors/sub-sectors; and (iii) to demonstrate GC actions or technologies aimed at reducing the use and /or releases of POPs and mercury in two manufacturing sectors.

In order to achieve the project objectives, four project components are envisaged:

- Component 1. Developing the enabling environment for Green Chemistry in Viet Nam.
- Component 2. Promote awareness on Green Chemistry and the benefits of the application of Green Chemistry and its guiding principles.
- Component 3. Introduce Green Chemistry approaches into priority sectors and at least 2 entities.
- Component 4. Project Monitoring and Evaluation and Dissemination of Project Results Lessons Learned and Experiences.

This project will contribute to the following Sustainable Development Goal (s): SDG 12: Responsible Consumption and Production, SDG 13: Climate Action, SDG 9: Industry, Innovation and Infrastructure, SDG 5: Gender Equality

This project will be linked to the following output of the UNDP Strategic Plan

Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.

Indicator 1.3.1: Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or subnational level.

Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.

Indicator 2.5.1: Extent to which legal or policy or institutional frameworks are in place for conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems.

This project will contribute to the following country outcomes included in the UNDAF/Country Programme Document:

Outcome 2.1: Low-carbon, climate and disaster resilient development: By 2021, Viet Nam has accelerated its transition to low-carbon and green development, and enhanced its adaptation and resilience to climate change and natural disasters, with a focus on empowering the poor and vulnerable groups.

Outcome 2.2: Sustainable management of natural resources and the environment: By 2021, Viet Nam has enhanced sustainable management of natural capital, biodiversity and ecosystem services and improved the quality of the environment, while contributing to the implementation of multilateral environmental agreements.

Consistency of the project with national policies

The Government of Viet Nam signed the Stockholm Convention on May 23, 2001 and ratified the Convention on July 22, 2002. The country's first National Implementation Plan (NIP) for the

implementation of the Stockholm Convention was prepared with the assistance of UNDP and submitted to the Stockholm Convention Secretariat in November 2007. The proposed project is entirely in line with the Viet Nam 2007 NIP and addresses 6 of the 15 priorities taken up in the NIP (Priorities No. 8; 11; 12; 13; 14; and 15). Therefore, it can be concluded that the proposed project is entirely consistent with Viet Nam's National Strategies pertaining to POPs.

Furthermore, the project is fully in-line with national strategies and plans, such as the:

- National Strategy on Environment Protection (NSEP) to 2020, with Visions to 2030
- Viet Nam Sustainable Development Strategy (2011- 2020)
- Viet Nam Green Growth Strategy (VGGS)
- National Action Plan (NAP) on Green Growth for the period of 2014 – 2020
- National Socio-Economic Development Plan (2011-2015)
- National Strategy on Cleaner Industrial Production to 2020
- National Strategy on exports and imports for 2011-2020
- National Action Plan on Sustainable Production and Consumption to 2020, with vision towards 2030

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 primary purpose of a project evaluation is to make improvements; to continue or scale up an initiative; to assess sustainability and replicability in other settings; to demonstrate accountability for results; or to consider alternatives. Project evaluations play an important role in accountability to donors and Governments involved in financing projects”

Evaluations focus on determining the relevance, impact, effectiveness, efficiency and sustainability of UNDP work in order to make adjustments and improve contributions to development.

The TE is expected to provide input to the review of 5-year country programme (2017-2021), and formulation of the next country programme (2022-2026), in the context of the country's social economic development strategy (2021-2030) and plan (2021-2025), the new One UN Cooperation Framework (2022-2026) that are under going.

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:

- Vietnam Chemicals Agency (VINACHEMIA), Industrial Safety Techniques and Environment Agency/Ministry of Industry and Trade (MOIT);
- Waste Management Department, (VEA), Vietnam Environment Protection Fund/ Ministry of Natural Resources and Environment (MONRE);
- Selected DOITs and DONREs (Thai Nguyen);
- Senior officials, key experts and consultants in the subject area, Project Steering Committee (PSC), and Project Management Unit (PMU);
- Non-government organizations; Vietnam Chemical Society, Responsible Care;
- University: Hanoi University of Science and technology, Hanoi University of Industry and Phenikaa University
- Research Institutes;
- Industries of 6 priority sectors
- Plato and Nishu Company

Additionally, the TE team is expected to conduct field missions in Vietnam, including the following project sites: Hanoi, Ha Nam, Thai Nguyen, Phu Tho.

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.

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](#).

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-ness

- 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 will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They 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 specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
- The TE report should also include lessons that can be taken from the evaluation, including best and worst practices in addressing issues relating to relevance, performance and success that can provide

knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to 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 results related to gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown in the ToR Annex.

6. Expected Outputs and Deliverables

The TE consultants shall prepare and submit:

- TE Inception Report: TE team clarifies objectives and methods of the TE no later than 2 weeks before the TE mission. TE team submits the Inception Report to the Commissioning Unit and project management. Approximate due date: 10th June 2021
- Presentation: TE team presents initial findings to project management and the Commissioning Unit at the end of the TE mission. Approximate due date: 15th July 2021
- Draft TE Report: TE team submits full draft report with annexes within 4 weeks of the end of the TE mission. Approximate due date: 25th July 2021
- Final TE Report* and Audit Trail: TE team submits revised report, with Audit Trail detailing how all received comments have (and have not) been addressed in the final TE report, to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Approximate due date: 20th August 2021

*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.²

7. TE Arrangements

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is UNDP Country Office in Vietnam.

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. 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.

8. Duration of the Work

The total duration of the TE will be approximately 45 working days over a time period of 16 weeks starting on 1 June 2021 and shall not exceed five months from when the TE team is hired. The tentative TE timeframe is as follows:

- 05 May: Selection of TE Team
- 20 May: Prep the TE team (handover of project documents)

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

- 25 May: 4 days: Document review and preparing TE Inception Report
- 10 June: 4 days: Finalization and Validation of TE Inception Report- latest start of TE mission
- 30 June: TE mission: stakeholder meetings, interviews, field visits
- 15 July: Mission wrap-up meeting & presentation of initial findings- earliest end of TE mission
- 25 July: Preparation of draft TE report
- 10 August: Circulation of draft TE report for comments
- 15 August: Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
- 25 August: Preparation & Issue of Management Response
- 31 August: Full TE completion

9. Duty Station

For international consultant:

- Due to COVID-19, depending on the travel possibility, travel to Vietnam may or may NOT be required. If travel is required, all cost related to travel to Viet Nam and provinces, DSA will be covered separately by UNDP.

For National consultant:

- National Consultant is required to carry out 5 days mission to Hanoi and 10 days mission to Ha Nam, Thai Nguyen, Phu Tho and 10 days home based.
- 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, domestic travel costs, per diems etc.);

REQUIRED SKILLS AND EXPERIENCE

10. TE Team Composition and Required Qualifications

The evaluation team will be composed of **1 international evaluator** and **1 national evaluator** (the international evaluator will be the team leader and will be responsible for finalizing the report). The consultants shall have prior experience in evaluating similar projects. Experience with GEF-financed projects is an advantage.

Below consultants are not eligible to bid due to conflict of interest:

- Have participated in the project preparation, formulation and/or implementation (including the writing of the project document)
- Have conducted this project’s Mid-Term Review
- have a conflict of interest with the project’s related activities.

International Consultant

Qualifications

Education

- A Master’s degree in chemical engineering, environment, or other closely related field.

Experience

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to chemical management;
- Experience working with the GEF or GEF-evaluations;
- Experience working in Asia is an advantage;
- Work experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender-sensitive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical and report-writing skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;

Responsibilities

- Lead and manage the evaluation mission in close collaboration with the National Consultant;
- Design the detailed evaluation scope and methodology (including the methods for data collection and analysis);
- Develop work plan with timelines within the evaluation team;
- 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.

International Consultant Evaluation

| | Consultant's experiences/qualification related to the service | Points |
|--------------|--|---------------|
| 1 | Experience with result-based management evaluation methodologies | 100 |
| 2 | Experience applying SMART indicators and reconstructing or validating baseline scenarios | 100 |
| 3 | Competence in adaptive management, as applied to chemical management | 100 |
| 4 | Experience working with the GEF or GEF-evaluations is preferred. | 50 |
| 5 | Experience working in Asia | 50 |
| 6 | Work experience in relevant technical areas for at least 10 years | 150 |
| 7 | Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender sensitive evaluation and analysis. | 150 |
| 8 | Demonstrable analytical and report-writing skills by provision of two reports writing | 100 |
| 9 | Project evaluation/review experiences within United Nations system is preferred | 50 |
| 10 | A Master's degree in chemical engineering, environment, or other closely related field | 150 |
| TOTAL | | 1,000 |

National consultant

Qualifications

- Master's degree in chemical engineering, environment, or other closely related field.
- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;

- Competence in adaptive management, as applied to POPs and chemical management;
- Experience working with the GEF or GEF evaluations;
- Work experience in relevant technical areas for 05 years;
- Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender sensitive evaluation and analysis;
- Excellent communication skills;
- Excellent English language abilities, written and spoken;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;

Responsibilities

- Working closely under the guidance of international consultant.
- 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 MTR reports, notes of the meetings and other related documents prepared by the international consultant; and
- Performing translation for the international consultants during meetings with various stakeholders and necessary documents discussed during the international consultant's mission.

National Consultant Evaluation

| | Consultant's experiences/qualification related to the service | Points |
|--------------|--|---------------|
| 1 | Experience with result-based management evaluation methodologies | 150 |
| 2 | Experience applying SMART indicators and reconstructing or validating baseline scenarios | 100 |
| 3 | Competence in adaptive management, as applied to POPs and chemical management | 100 |
| 4 | Experience working with the GEF or GEF evaluations as an asset | 50 |
| 5 | Excellent English language abilities, written with two writing samples submitted | 100 |
| 6 | Work experience in relevant technical areas for 05 years | 100 |
| 7 | Demonstrated understanding of issues related to gender and POPs and chemical management; experience in gender sensitive evaluation and analysis. | 100 |
| 9 | Demonstrable analytical skills | 100 |
| 10 | Project evaluation/review experiences within United Nations system will be considered an asset | 50 |
| 11 | A Master's degree in chemical engineering, environment, or other closely related field | 150 |
| TOTAL | | 1,000 |

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.
- Financial proposals must be provided fee following the number of working day for the assignment.

13. 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 B: List of Persons Interviewed

| No. | Name (Last name, first name) | Position | Organization/ Institution | Contact details (Email/ Phone) |
|---------------------------------|------------------------------|-------------------------------------|---|--|
| UNDP | | | | |
| 1 | Mr. Hoang Thanh Vinh | PO | Climate Change and Environment Unit | Hoang.thanh.vinh@undp.org |
| 2 | Ms. Vu Thi Thu Hang | Office in Charge | Climate Change and Environment Unit | vu.thi.thu.hang@undp.org |
| PMU | | | | |
| 3 | Mr. Luu Hoang Ngoc | Director of the project | VINACHEMIA/MOIT | ngochl@moit.gov.vn |
| 4 | Mr. Nguyen Mai Cuong | Project Coordinator | GC PMU | Nguyenmaicuong80@gmail.com |
| 5 | Ms. Vu Thi Ngoc Huong | Accountant | GC PMU | Vnhuong1970@gmail.com |
| 6 | Mr. Le Viet Thang | Project Secretary | CG PMU | thanglv@moit.gov.vn |
| NGOs/Academia/Institutes | | | | |
| 7 | Mr. Chu Van Nguyen | Vice President | Responsible Care (Vietnam Responsible Care Council) | nguyenchuvan@gmail.com |
| 8 | Mr. Pham Huy Dong | Vice Director | Vietnam Institute of Industrial Chemicals | dongviic@gmail.com |
| 9 | Mr. Mai Thanh Tung | Vice President | The Vietnam Corrosion and Metal Protection Association - VICORRA | tung.maithanh@hust.edu.vn |
| 10 | Mr. Nguyen Thanh Nam | Vice President | Northern Paint and Printing Ink Club | nishu.team1@gmail.com |
| 11 | Mr. Dao Van Duong | Head of Faculty | Faculty of Biotechnology, Chemical and Environmental Engineering, Phenikaa University | duong.daovan@phenikaa-uni.edu.vn |
| 12 | Mr. Vu Dinh Tien | Vice Director | Chemical Technical Institute, Hanoi University of Science and Technology | tien.vudinh@hust.edu.vn |
| 13 | Mr. Tran Quang Tung | Vice Director | Technical Institute, Hanoi University of Industry | quangtungdhcnhn@gmail.com |
| Pilot companies | | | | |
| 15 | Mr. Nguyen Anh Tu | Deputy Director | Plato | anhtu.bkhn57@gmail.com |
| 16 | Mr. Dang Anh Tu | President | Nishu | tunishu@gmail.com |
| Others | | | | |
| 17 | Mr. Carlo Lupi | International Expert for GC project | On cost-benefit analysis of GC and environmental evaluation for GC demonstration | carloilupi@popchemicals.org |
| 18 | Mr. Nguyen Anh Dung | Director | Vietnam Environment Protection Fund | shimizu72@yahoo.com |

ANNEX C – LIST OF DOCUMENTS REVIEWED

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. CEO Endorsement Request
5. UNDP Social and Environmental Screening Procedure (SESP)
6. Project Inception Workshop Report
7. PIRs
8. Progress Reports
9. Oversight Mission Reports
10. Minutes of Project Board Meetings
11. GEF Tracking tools
12. Financial Data
13. Co-financing Data
14. Audit reports
15. Summary list of formal meetings, workshops
16. List and contact details of staff, key stakeholders
17. Gender

Matrix for final project evaluation

| Evaluative Criteria Questions | Indicators | Sources | Methodology |
|---|--|---|---|
| Relevance: How does the project relate to the main objectives of the GEF Focal area, and to the environment and development priorities a the local, regional and national level? | | | |
| - How does the project support the strategic priorities of UNDP and GEF? | - There is a clear relationship between the project objectives and strategic priorities of UNDP and GEF. | - Project documents - UNDP and GEF strategies and documents. | - Document analysis. - Interviews with UNDP staff and the project team. |
| - How does the project support environmental and development priorities at the national level? - What has been the level of stakeholder involvement in the design of the project? - Does the project take into account national, political and national realities in both its design and implementation? - What has been the level of ownership of the main stakeholders in the implementation of the project? | - The extent to which the project supports national environmental policies. - Assessment of key stakeholders regarding the level of adequacy of project design and implementation to existing national realities and capacities. - Coherence between the needs expressed by national stakeholders and UNDP-GEF approach. - Level of involvement of government officials and other partners in the project design process. | - Project documents - Assessment of key partners and stakeholders of the project. | - Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team. |
| - Are there logical links between the expected results of the project and the design of the project (in terms of project components, choice of partners, structure, implementation mechanisms, scope, budget, resource use, among others)? - Was the duration of the project set out in the prodoc sufficient to achieve the proposed results? | - Level of consistency between the results and the design of the internal logic of the project. - Level of consistency between the design of the project and its implementation approach. - Level of correspondence of the theory of change, with the structure and composition of the project, the context | - Project documents. - Assessment of VINACHEMIA/MOIT staff, project partners and project team. | - Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team. |

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| <p>- How does the theory of change expressed in PRODOC hold correspondence with the structure and composition of the project, the context and the needs of the country?</p> | <p>and the needs of the country?</p> | | |
| <p>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</p> | | | |
| <p>- It has been the effective project in achieving the expected results?</p> | <p>- Analysis of indicators in the strategic results framework/logical framework of the project, in relation to resources and time spent.</p> | <p>- Project documents. - Quarterly and annual progress reports. - VINACHEMIA/MOIT staff, partners, the project team and UNDP.</p> | <p>- Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team.</p> |
| <p>- How were the risks and assumptions of the project handled? - What has been the quality of the mitigation strategies developed? - How has adaptive management contributed to the achievement of results and the scaling up of expected outputs?</p> | <p>- Integrity of the identification of risks and assumptions during the planning and design of the project. - Quality of the information systems established to identify emerging risks.</p> | <p>- Project documents. - Quarterly and annual progress reports. - VINACHEMIA/MOIT staff, partners, the project team and UNDP.</p> | <p>- Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team.</p> |
| <p>- What changes could have been made (if possible) to the project design to improve the achievement of the expected results?</p> | <p>- Changes that improve the achievement of project results.</p> | <p>- Data collected during interviews and evaluation of documentation.</p> | <p>- Analysis of relevant documentation and data.</p> |
| <p>Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?</p> | | | |
| <p>- How has adaptive management contributed to the achievement of results and the expansion of expected outputs? - Have they been used as management tools during the implementation of the project, the logical framework, the work plans or any changes made to them? - Have the financial and accounting</p> | <p>- Adaptive management was used to ensure efficient use of resources. - Availability and quality of financial and progress reports. - Timeliness and adequacy of the reports delivered. - Level of discrepancy between planned and actual expenditure.</p> | <p>- Project documents. - Quarterly and annual progress reports. - VINACHEMIA/MOIT staff, partners, the project team and UNDP.</p> | <p>- Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team.</p> |

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| <p>systems been adequate for project management and for producing accurate and timely financial information?</p> <p>-Were the progress reports accurate and timely? Do they respond to the reporting requirements? Do they include adaptive management changes?</p> <p>- Has the execution of the project been as effective as it was originally proposed (planned vs. current)?</p> <p>- Has the co-financing been in line with plan?</p> <p>- Have financial resources been used efficiently?</p> <p>- Have the acquisitions been made in a way that makes efficient use of the project's resources?</p> <p>-How has the results-based management approach been used during the implementation of the project?</p> | <ul style="list-style-type: none"> - Co-financing planned vs. the current received. - Cost based on results achieved compared to the costs of similar projects in other organizations. - How appropriate the options selected by the project have been based on context, infrastructure and cost. - Quality of the results-based management report (progress reports, monitoring and evaluation). - There were and with what occurrence changes in the project design or implementation approach when they have been necessary to improve the efficiency of the project. - Cost associated with the delivery mechanism and management structure, compared to other alternatives. | | |
| Sustainability: To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results? | | | |
| <p>- Have sustainability aspects been integrated into the design and implementation of the project?</p> | <ul style="list-style-type: none"> - Evidence/quality of sustainability strategy. - Evidence/quality of actions taken to ensure sustainability. | <ul style="list-style-type: none"> - Project documents. - Assessment of VINACHEMIA/MOIT staff, project partners and project team. | <ul style="list-style-type: none"> - Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team. |
| <p>- Does the project adequately address the aspects of financial and economic sustainability?</p> | <ul style="list-style-type: none"> - Level and source of financial support to be provided in the future to relevant sectors and activities after the end of the project. - Evidence of commitment from international | <ul style="list-style-type: none"> - Project documents. - Assessment of VINACHEMIA/MOIT staff, project partners and project team. | <ul style="list-style-type: none"> - Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team. |

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| | partners, governments and other stakeholders to financially support relevant sectors/activities after project completion. | | |
| <ul style="list-style-type: none"> - Is there evidence that project partners will continue activities beyond the completion of the project? - What is the degree of political commitment to continue working on the results of the project? | <ul style="list-style-type: none"> - Degree to which project activities and results have been taken over by counterparts. - Level of financial support to be provided by the government once the project is finished. | <ul style="list-style-type: none"> - Project documents. - Assessment of VINACHEMIA/MOIT staff, project partners and project team. | <ul style="list-style-type: none"> - Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team. |
| <ul style="list-style-type: none"> - What are the main challenges that can hinder the sustainability of efforts? - Have they been addressed during project management? - What potential measures could contribute to the sustainability of the project's successful efforts? | <ul style="list-style-type: none"> - Changes that could mean challenges to the project. | <ul style="list-style-type: none"> - Project documents. - Assessment of VINACHEMIA/MOIT staff, project partners and project team. | <ul style="list-style-type: none"> - Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team. |
| Impact: Are there indications that the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status? | | | |
| <ul style="list-style-type: none"> - Is the project expected to achieve its objective of protecting human health and the environment by the reduction of the use and release of POPs/harmful chemicals? - Will it fulfill its responsibility to implement the Stockholm and Minamata Conventions as a result of the project's achievements in the areas of: strengthening national capacities to improve reduce the use and release of POPs/harmful chemicals into the | <ul style="list-style-type: none"> - Viet Nam's institutional capacity for the environmentally sound management of POPs/harmful chemical was strengthened. - Environmentally sound schemes and business models were developed for the reduction of use of POPs/harmful chemicals. - National technical capacity and infrastructure the reduction in the use and release of POPs/harmful chemicals were strengthened. | <ul style="list-style-type: none"> - Project documents. - Assessment of VINACHEMIA/MOIT staff, project partners and project team. | <ul style="list-style-type: none"> - Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team. |

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| environment and affect human health? | - Awareness was raised at the national and regional levels about the non reduction of use and release of POPs/ harmful chemicals can cause to the health and environment. | | |
| Gender equality and women's empowerment: How did the project contribute to gender equality and women's empowerment? | | | |
| How appropriate and adaptive was the gender action plan in facilitating gender mainstreaming objectives? | How were women's groups, NGOs, civil society organizations consulted and involved in the project design? | - Project documents. - Assessment of VINACHEMIA/MOIT staff, project partners and project team. | - Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team. |
| During implementation what systematic and appropriate efforts were made to include a diverse group of people? | For stakeholder workshops what was the relationship men/women? | - Project documents. - Assessment of VINACHEMIA/MOIT staff, project partners and project team. | - Document analysis. - Interviews with VINACHEMIA/MOIT staff, project partners, UNDP and the project team. |

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

UNEG Code of Conduct for Evaluators¹

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 limitations, 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: __Anna Ortiz

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 _San José, Costa Rica_ on September 23, 2021

Signature: _____


¹ Source: <http://www.unevaluation.org/document/detail/100>

Management Response Template

Project Title: Application of Green Chemistry in Viet Nam to support green growth and reduction in the use and release of POPs/harmful chemicals

UNDP PIMS ID: 5723

GEF ID: 9379

Terminal Evaluation Completion Date: September 2021

Date of Issue of Management Response:

Prepared by:

Contributors:

Cleared by:

| Terminal Evaluation recommendation 1. | | | | |
|---------------------------------------|------------|---------------------|-----------------------|---------------------|
| Management response: ¹ | | | | |
| Key action(s) | Time frame | Responsible unit(s) | Tracking ² | |
| | | | Comments | Status ³ |
| 1.1 | | | | |
| 1.2 | | | | |
| 1.3 | | | | |

| Terminal Evaluation recommendation 2. | | | | |
|---------------------------------------|------------|---------------------|----------|--------|
| Management response: | | | | |
| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
| | | | Comments | Status |
| 2.1 | | | | |
| 2.2 | | | | |
| 2.3 | | | | |

| Terminal Evaluation recommendation 3. | | | | |
|---------------------------------------|--|--|--|--|
|---------------------------------------|--|--|--|--|

¹ Select one: Fully Accept, Partially Accept, Reject

² Status of implementation is tracked electronically in the Evaluation Resource Centre (ERC).

³ Select one: Not initiated, Initiated, Completed, Completed, No longer applicable

| Management response: | | | | |
|----------------------|------------|---------------------|----------|--------|
| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
| | | | Comments | Status |
| 3.1 | | | | |
| 3.2 | | | | |
| 3.3 | | | | |

| Terminal Evaluation recommendation 4. | | | | |
|---------------------------------------|------------|---------------------|----------|--------|
| Management response: | | | | |
| Key action(s) | Time frame | Responsible unit(s) | Tracking | |
| | | | Comments | Status |
| 4.1 | | | | |
| 4.2 | | | | |
| 4.3 | | | | |

(Add tables, as needed)

TE Report Clearance Form

Terminal Evaluation Report for the Project, Application of Green Chemistry in Viet Nam to support green growth and reduction in the use and release of POPs/ harmful chemicals (PIMS 5723)

Reviewed and Cleared By:

Commissioning Unit (M&E Focal Point)

Name: _____

Signature: _____ Date: _____

Regional Technical Advisor (Nature, Climate and Energy)

Name: _____

Signature: _____ Date: _____