UNITED NATIONS DEVELOPMENT PROGRAMME

Philippines: Philippine Efficient Lighting Market transformation Project (PELMATP)
PHI 00041692

Terms of Reference for the Mid-Term Review

1. Introduction

1.1. Country Context

Conservation and efficient utilization of energy have always been among the major strategies of the Government of the Philippines (GOP) to the realization of energy self-efficiency and reduced environmental impacts of energy generation and utilization. The progress made in the area of energy conservation and energy efficiency (EC&EE) was however slowed down by several events, which among others, led to private sector becoming hesitant to invest on EC&EE technologies because of economic uncertainty and the basic fact that money is in short supply. The government recognized that the shortfall of various programs in the past would continue unless certain forms of intervention will be implemented to address the following:

a) Inadequate information on energy management services market such as energy end-use indicators and base level energy intensity for all sectors;
b) Inadequate interest in energy efficiency;
c) Slow penetration of EC&EE technologies due to lack of financing, lack of incentive information delivery system and lack of data on monitoring and verification; and
d) Lack of awareness on the impact of efficient energy utilization on the environment and the country's limited resources.

The use of energy efficient lighting (EEL) is one of the programs by the government and the private sector in promoting energy efficiency. The EEL systems are the easiest to install/retrofit among other energy efficient equipment used in households and in commercial and industrial establishments. However, barriers to its widespread utilization exist despite various government and private sector's programs and activities in the past (Please see Project Brief – Barriers to Widespread Use of Energy Efficient Lighting Systems in Annex E). Without intervention, efforts on EEL will continue, as in the past, promoted in a fragmented manner through the EC&EE programs of the Department of Energy (DOE), such as: (a) Energy management services; (b) Information and education campaign; (c) Government ENERCON Program; (d) Energy Labeling and Standards; and (e) Demand Side Management, along with the implementation of other energy efficiency technologies. It is up to the public and the private sector to decide and prioritize which will best fit to their daily operations and financial capabilities.

1.2. Project Summary

The project addresses the barriers to widespread utilization of energy efficient lighting systems (EELs) in the Philippines. It will cover energy efficient versions of linear fluorescent lamps(standard vs. the slim tubes), compact fluorescent lamps (CFL), high intensity discharge (HID) lamps, ballasts (low loss electromagnetic and electronic), and luminaires. The Project will accelerate integration of EEL programs to the planned DOE activities, enhance private sector's involvement and appreciation of the benefits of EEL and ensure that environmental impacts associated with the use of EELs are mitigated. The project will achieve its objectives by: updating of policies, standards/guidelines; institutional capacity building; consumer education and information dissemination; developing and implementing financing mechanisms; and, mitigating environmental impacts of the project. The implementation of the Project will result to an aggregate energy savings of 29,000 GWh equivalent to 21% reduction relative to the Philippines energy efficiency scenario from 2003 to 2012. The equivalent GHG emission reduction is about 4,600 Gg of CO_2 equivalent.

1.3. Project Expected Outcomes and Outputs

The project outcomes and outputs covered by the entire project duration include:

Outcome 1: Existing EEL Systems, Policies, Standards and Guidelines are enhanced and new ones are established.
Review and update existing policies, standards and guidelines; develop/ formulate new ones to promote use of energy efficient lighting; and formulate appropriate quality and energy performance standards and labeling for lighting products and improvements in consumer protection policies to help protect consumers as well as manufacturers from proliferation of non-certified lighting products.

- Multi-sectoral working group on the promotion of widespread utilization and commercialization of EEL is operational by 2005 and every year thereafter.
- Lighting system specification in the Guidelines for Energy Conserving Design of Buildings and Utility System and IIEE- ELI Manual of Practice on Efficient Lighting by 2006.
- Lighting product standards are updated and implemented.
- Voluntary Agreement (VA) scheme with lighting manufacturers and distributors implemented.
- EEL systems in government buildings applied and implemented.
- Incentives for EEL product importers/manufacturers and lamp waste recyclers established.
- Consumer protection guidelines established.

- EEL policy and standard implementation monitoring and evaluation established.

Outcome 2: Institutional and technical capacities on EEL applications developed.
Build the capacity of DOE-LATL, ERC, local lighting manufacturers, households and commercial/industrial establishments on the promotion of the utilization of EEL systems.

- Testing, labeling and market monitoring of EEL systems established.
- Local lighting product manufacturers produce affordable EEL systems in the market.
- EEL system activities implemented in DSM Plans of utilities and RECs.
- EEL savings calculator designed and disseminated to households and commercial and industrial establishments by 2006.
- Lighting system designers trained on EEL application.
- Mass purchasing of EEL systems implemented.
- EEL programs implemented in commercial and industrial (C&I) establishments.
- Institutional and technical capacity on EEL applications established, monitored and evaluated.

Outcome 3: Consumer awareness on EEL applications improved.
Encourage collaboration of both government and the private sector in the promotion of EEL products through, among others, a project website, to provide fast and easy access to PELMATP activities and EEL technology information, and regular consultations with the public to monitor and improve the program.

- EEL products jointly promoted by government and the private sector.
- Information on EEL systems consolidated and disseminated.
- EEL training included in school curricula.
- Improvements on consumer awareness on EEL applications monitored and evaluated.

Outcome 4: EEL initiatives financing assistance program implemented.
Design and establish financing mechanisms to assist EEL system project proponents in coping with the first cost of EEL systems, including activities on micro-financing of EEL products by consumer cooperatives, and financing bigger EEL projects through available credit facilities of DBP.

- EEL micro-financing scheme is implemented.
- ESCO-led projects are implemented.
- Capacity on EEL business financing established at banking institutions in the country.
- VA agreements with Commercial and Industrial (C&I) are developed and implemented.
- EEL systems financing assistance program is monitored and evaluated.

Outcome 5: Management and disposal of mercury (Hg) containing lamp wastes are environmentally acceptable.
Primarily address the management of EEL wastes in coordination with ongoing activities by the National Solid Waste Commission, the Environmental Management Bureau, the LGUs and all other initiatives by development agencies on solid waste management and by NGOs.

- Policies and guidelines for managing Hg containing wastes are implemented.
- Lamp waste recycling facility established by 2007.
- EEL Systems Waste Management Program is monitored and evaluated.

The Project has been designed to be complementary to ongoing and planned energy efficiency and energy conservation programs of the GOP. In particular, this market transformation project will lay important structural and technical as well as behavioral groundwork for future EEL-related projects in the country.

2. Project Status

PELMATP is now in its Year 4 of implementation since its start in January 2005 (actual start was in April 2005). The status of accomplishments of the PELMATP Project as of June 30, 2007 was reported in the 2006 Annual Project Report and Project Implementation Review (APR/PIR 2007) vis-à-vis the end-of-project Year 5 Target Level and is summarized as follows:

Outcome 1: Existing EEL Systems, Policies, Standards and Guidelines are enhanced and new ones are established.

The main activities of this component are geared towards putting in place the structural changes that will encourage and institutionalize efficient lighting use. A multi-sectoral working group (Technical Working Group or TWG) and a Policy Advisory Board or PAB have been established since 2005, providing technical recommendations and policy-related decisions, respectively, to support the project.

The Guidelines for Energy Conserving Design of Buildings, incorporating efficient lighting specifications, had been updated together with the Manual of Practice on Efficient Lighting while the newly developed Roadway Lighting Guidelines are for pilot implementation in selected cities. These documents are now being distributed and their use disseminated throughout the country.

Twenty five (25) Philippine National Standards (PNS), including the minimum energy performance standards or MEPS on lighting products were developed. The project in cooperation with the Department of Trade and Industry – Bureau of Product Standards (DTI-BPS) is in the process of forging voluntary

agreements (VA) with lighting manufacturers/distributors for higher MEPS lighting products.

A milestone achievement of the project is the signing by President Gloria Macapagal-Arroyo of the Administrative Order (A.O.) No. 183 which directs the use of EELs in government facilities, an AO drafted by the PELMATP. In 2007, a total of 110 government buildings nationwide implemented EEL projects.

Completed lamp warranty guidelines is scheduled for public hearing during the 2nd quarter of 2008 prior to full implementation. Guidelines on Eco-labeling of lamps (CFL, linear fluorescent lamps and electronic ballasts), on the other hand, had been approved by the Board of Eco-Labeling Program of the Philippines and for consideration by the Government Procurement Service.

Outcome 2: Institutional and technical capacities on EEL applications developed.

The focus of this component is on institutional and technical strengthening primarily of the DOE's Lighting Appliance Testing Laboratory (LATL), and the then DTI-BPS Laboratory Accreditation Scheme (BPSLAS), presently, the Philippine Accreditation Office (PAO). Through the project, PAO became signatory to the Asia and the Pacific Laboratory Accreditation Cooperation (APLAC) in 2005. Since 2005, upgrading of the testing capability of LATL has been going on, to include the installations of CFL, Ballast, Fluorescent Lamp and Luminaire Testing Facilities, with the latter which was completed in December 2007 as the most expensive and the biggest facility provided under the project. As part of capacity development DOE and other partner agency officials and staff were sent to trainings, both local and international.

Accreditation of LATL to ISO/IEC 17025 for fluorescent lamp ballasts and linear fluorescent lamps (including calibration of temperature, electrical, and pressure equipment starting last quarter of 2007 and expected to be completed 3rd quarter of 2008). While that for CFL testing had been completed in 2002 with support from PELMATP (including accreditation renewal payment for the next three years).

Local manufacturing for lamp ballast and fixtures were provided technical assistance to improve their stock, and make them more affordable and readily available. This activity was, however, delayed but is almost completed to date.

In cooperation with the DOE, the PELMATP conducted lighting energy audits in at least eight (8) commercial/privately-owned buildings, two (2) industrial sectors, one residential sector, as well as fifteen (15) government buildings/facilities with a combined potential savings of 3.96 GWh/yr.

Partnering with utilities was the alternative strategy resorted to by the PELMATP to promote efficient lighting as part of the utilities' value added services to customers since demand side management (DSM) has since been overshadowed by deregulation-related activities.

Delays in procuring consulting as well as technical assistance services (i.e., unavailability of contractor) resulted to the slide in the implementation of the design of EEL Calculators for households (HH) and C&I, which is presently being finalized; and the development of lighting product monitoring program, the agreement with DTI-BPS of which has recently been signed.

Through various fora (conferences, conventions, exhibits, seminars/ workshops, etc.), PELMATP has disseminated EELs to over 25 C&I since the start of the project.

Outcome 3: Consumer awareness on EEL applications improved.

On EEL advocacy and promotion, PELMATP and EELs have been disseminated to more than 68 organizations/associations through various fora, and presentations annually. IEC activities reached an estimated of more than 68,000 potential users (commercial, industrial and residential) through annual conventions, conferences, expositions and conventions by, among others, the Institute of Integrated Electrical Engineers (IIEE), Consumer Trade Fair, CSR Expo, Earth Day celebration (Fuels for Life), international harmonization initiatives, and others.

PELMATP has also conducted ten (10) Palit-Ilaw Activities in selected places, e.g., markets, schools, hospitals, residential sector, Smile Citihomes-Novaliches, New Dagonoy Public Market, Eusebio High School, Quezon City Hall, Makati City Hall, Cebu City Hall, DTI, Manila Science High School, Ramon Magsaysay High School and Technological Institute of the Philippines)

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Also, EEL promotion campaigns were made through radio and TV as well as the project website. The PELMATP website has been completed in March 14, 2006 and subsequently visited by stakeholders with over 1.4 million hits made since its creation.

EEL course modules have been designed for senior electrical engineering students and vocational students. Two (2) Training of Trainors were conducted to prepare the professors who will facilitate the pilot-testing of the said Modules to their respective schools (November 22-23, 2007 in Dagupan City for colleges/ universities in Region 1 and 2, and December 13-1, 2007 for colleges/ universities in National Capital Region). These modules have been piloted in selected colleges/universities and technical schools. (e.g., Mapua University, Technological Institute of the Philippines, FEU-East Asia, University of Makati, New Era University, Colegio de Dagupan, University of Pangasinan, Virgen Milagrosa University Foundation, University of Luzon, and Philippine College of Science and Technology) .

Outcome 4: EEL initiatives financing assistance program implemented.

On the design and Implementation of EEL Micro-financing, two consultations have been conducted in March 2008, one in Davao and one in Metro Manila attended by twenty-seven (27) cooperatives. The consultations were held to discuss with cooperatives the proposed financing model.

The ESCO Specialist has designed two draft model energy performance contracts for implementation by the Development Bank of the Philippines (DBP), which is in line with the activity for a Model ESCO Transaction Project" by DBP. However, due to some constraints encountered in the procurement of ESCO services, the Model ESCO Transaction will be implemented in the activity for ESCO Applications currently under negotiation.

The ESCO Specialist also developed draft user friendly guidelines for the utilization of the available credit facility in DBP that can be used for Energy Performance Contracting (EPC) services. Guidelines and framework to establish monitoring and verification protocols for future ESCO contracts were also developed for the financing institution.

In April and May of 2007 successively, 10 financing institutions from Metro Manila, Visayas and Mindanao were trained to improve their understanding and appreciation of the economic and financial benefits of EEL system initiatives. Specially designed training courses will be catered to financing institutions to teach them how to evaluate EEL system project proposals.

Outcome 5: Management and disposal of mercury (Hg) containing lamp wastes are environmentally acceptable.

The policy study on the waste lamp management was completed end of 2007 and final copy of the document was submitted to the Department of Environment and Natural Resources – Environment Management Bureau (DENR-EMB) Director during the first quarter of 2008.

The policy study and the accompanying proposed policy recommendations served as inputs to the DENR-EMB activities in the formulation of policy guidelines and programs for lamp waste management. It will also lead to the setting up of standardized procedures for testing mercury content in lamps and the development of IEC materials and a guidebook, which will be used as references by those implementing solid and hazardous waste management program.

3. Objectives of the Mid-Term Review (MTR)

The objectives of this Mid-Term Review (MTR) are in line with the following overarching objectives of the monitoring and evaluation of GEF projects:

a. Promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes and performance of the partners involved in GEF activities. Project results will be monitored and evaluated for their contribution to global environmental benefits;
b. Promote learning, feedback and knowledge sharing on results and lessons learned among the GEF and its implementing partners, as basis for decision-making on policies, strategies, program management, and projects and to improve knowledge and performance.

As defined in the GEF Monitoring and Evaluation (M&E) Policy, an evaluation is a systematic and impartial assessment of an activity, project, program, strategy, policy, sector, focal area or other topics. It aims to determine the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the involved partners. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes.

4. Scope of the MTR

The scope of the MTR covers the entire UNDP/GEF-funded project and its components as well as the co-financed components of the project.

It will review and evaluate the Project implementation taking into account the status of the project activities, outputs and resource disbursements made up to December 31, 2007.

The review and evaluation will involve analysis at two levels: component level and project level. On the component level, the following shall be assessed:

- Whether there is effective relationship and communication between/among components so that data, information, lessons learned, best practices and outputs are shared efficiently, including cross-cutting issues.
- Whether the performance measurement indicators and targets used in the project monitoring system are specific, measurable, achievable, reasonable and time-bound to achieve desired project outcomes.
- Whether the use of consultants has been successful in achieving component outputs.

The evaluation will include such aspects as appropriateness and relevance of work plan, compliance with the work and financial plan with budget allocation, timeliness of disbursements, procurement, coordination among project team members and committees, and the UNDP country office

support. Any issue or factor that has impeded or accelerated the implementation of the project or any of its components, including actions taken and resolutions made should be highlighted. In order to assess the performance of the project in terms of budget and corresponding components/activities, the following table can be used as guide, or the Evaluation Team may devise an appropriate format, in presenting it.

Components/Activities		**Budget**		
Planned Activities	**Actual Accomplishment**	**As per WFP**	**Actual Expenditures**	**% of Actual vs. Project Budget**
Component 1				
Mobilize and Operationalize PELMATP TWG	Multi-sectoral working groups (Policy Advisory Board and Technical Working Group) have been actively involved in providing technical and policy related recommendations	8,930	4,455.26	50%
Update Lighting Systems specification in the building energy use guidelines	Completed the updating of Guidelines for Energy Conserving Design of Buildings and the IIEE-ELI Manual of Practice on Efficient Lighting	69,641	68,088.46	98%
Review, update and implement lighting product standards	25 new formulated and updated existing PNS, including MEPS	50,000	53,836.36	108%
	Developed lighting system Standards	13,600	11,827.78	87%
Develop and implement VA scheme with lighting manufacturers and distributors	Developed voluntary agreement (VA) scheme with lighting manufacturers and distributors	16,071	114.76	0.7%
Demonstrate and implement EEL systems in government buildings	Prepared Administrative Order and IRR, the AO No. 183 of which was eventually signed by the President directing the use of energy efficient lighting systems (EELs) in government facilities (Palit-Ilaw)	36,250	769.99	2%
Formulate and implement incentives for EEL product importers and manufacturer and lamp waste recyclers				
Formulate and implement consumer protection	Developed draft guidelines on warranty of lamps	5,000	3,976.81	80%

guidelines		24,108	2,371.96	10%
	Developed draft guidelines on eco-labeling of lamps	5,000	5,091.62	102%
Component 2				
Accreditation of DOE-LATL	BPSLAS (now PAO) Accreditation to APLAC	51,460	22,719.09	44%
Upgrade testing capability of DOE LATL	Improvement of testing capability of LATL through the purchase of major equipment and construction of test facility for light sources and luminaires	1,258,806	1,038,952.78	83%
Conduct R & D Works on local applications on EEL Systems		40,385		0%
Develop lighting product monitoring program		43,541		0%
Establish local manufacturing capacity and lighting services industry	Support to local lighting product manufacturers through the establishment of a comprehensive database of lighting product manufacturers, assessment of capabilities of local lighting product manufacturers, potential improvements and efficient designs for locally made lighting products, capacity building for lighting manufacturers (ongoing)	163,600	43,098.35	26%
Review/ update DSM Framework and plan templates		66,557	67.13	0.1%
Training DSM Plan Templates		27,000		0%
Design and implement EEL Leasing Model		15,000		0%
Design and Implement Street lighting guidelines	Completed the template for local ordinance on the application of Roadway Lighting Guidelines (combined with Activity 1.2)	14,285	55.68	0.4%
Design of EEL Savings Calculator		6,000	291.26	0.5%
Design of Training Module on Application of EEL		3,786		0%

System				
Disseminate PELMATP Program and EEL system application demonstration activities to C & I establishments	Implementation of EEL Programs in the Industrial Sector through EEL systems application demonstration in industries, energy audit conducted in Philippine Steel Corporation, and Maitland Smith, and pledge of commitment of support by the Mactan Economic Zone – Facilities, Maintenance and Environmental Association(MEZ-FAMEA) members	28,464	13,808.55	49%
Implement EEL systems application demonstration to industrial and commercials establishments	- EEL systems application demonstrations in commercial sector, energy audit conducted in Gaisano, Cebu Holdings, St. Luke's Medical Center, Manila Science High School. - Collaboration with Oro Chamber, Cebu Chamber and respective LGUs in a Pledge of Commitment to Support Lighting Efficiency	53,864	16,184.90	30%
	Initiated the dialogue with lighting industry stakeholders, both Philippine Lighting Industry Association (PLIA) and non-PLIA member which is envisioned to lead to a single lighting industry association (initially, it may take the form of coalition)			
Component 3				
Joint promotion of EEL products by government and private sector	Joint government-private sector promotion of EEL technologies through annual fora, including the lighting convention with IIEE, ENMAP (presently, the Energy Efficiency Practitioners Association of the Philippines or ENPAP), DOE Energy Week, Pollution Control Association of the Philippines (PCAPI), Consumer Trade Fair, and umbrella organizations like the League of Corporate Foundations (LCF), Gawad Kalinga Movement (GK), Chambers of Commerce and Industry (e.g., Cagayan de	20,000	10,775.72	54%

	Oro CCIF, Cebu CCI, Mandaue CCI, Philippine CCI), export processing zones (MEZ-FAMEA), PLIA and non-PLIA, USAID Eco-Asia Clean Development and Climate Program (CDCP), USAID-Energy and Clean Air Program (ECAP), International CFL Initiative, among others.			
	Another activity that includes the joint government-private sector promotion is the "Palit-Ilaw Activities," where a certain portion of a target marketplace, school, hospital or community is chosen for retrofitting initiatives. The EEL products used for the Palit-Ilaw activities came from the partners companies in the lighting industry. **Palit-Ilaw Activities done by PELMATP** 1. Palit-Ilaw sa Smile Citihomes, Novaliches (Aug. 31, 2005) 2. Palit-Ilaw sa Palengke, New Dagonoy Market (Dec. 8, 2005) 3. Palit-Ilaw sa Eusebio High (Feb. 23, 2006) 4. Palit-Ilaw sa Quezon City Hall (Mar. 7, 2006) 5. Palit-Ilaw sa Makati City Hall (Mar. 26, 2007) 6. Palit-Ilaw sa Cebu City Hall (Sept. 26-28, 2006) 7. Palit-Ilaw sa DTI (Oct. 18, 2006) 8. Palit-Ilaw sa Manila Science Highschool (Feb. 21, 2007)			
	Initiated the awareness of Lamp Waste Management through presentation in national convention and forum.			
Promote EEL products to household	IEC materials developed and distributed to various stakeholders	59,375	18,311.72	31%
	Intensified project promotion through tri-media campaign 1. Television:Konsumer Atbp., Bandila Magandang Umaga Pilipinas, Para Sa Iyo Bayan,			

	ABS-CBN News Channel or ANC and others) 2. Radio: DZMM's Konsyumer Atbp. 3. Newspaper: Philippine Daily Inquirer, Manila Bulletin,and other tabloids			
	Partnership with distribution companies, such as, Manila Electric Company (MERALCO), Visayas Electric Company (VECO) and Cagayan de Oro Electric Power and Light Company (CEPALCO) in the inclusion of the campaign of Palit-Ilaw and efficient light use to be placed in the message box of their respective electrical bills, and possibly doing IEC with PELMAT as part of their value added services to clients			
Consolidate and disseminate data generated from results of PELMATP and other related activities	Operational project website	9,715	11,263.25	116%
Design, test and implement EEL courses	Inclusion of Illumination Engineering Design subject in the New Draft Electrical Engineering Curricula to be implemented in school year 2008-2009 to senior electrical engineering students	8,000	7,426.36	93%
Component 4				
Design and implement of micro financing model	Consultation with 27 cooperatives in Davao and Metro Manila for draft microfinancing scheme model	31,857	4,571.15	14%
Develop and implement ESCO Led projects	Drafted ESCO accreditation for DOE-Energy Utilization Management Bureau (EUMB) consideration and adoption Designed two draft model energy performance contracts for implementation by the Development Bank of the Philippines (DBP), which is in line with the activity for a Model ESCO Transaction Project" by DBP. Developed Guidelines and	61,960	6,825.74	11%

	framework to establish monitoring and verification protocols for future ESCO contracts.			
Build capacity of EEL business financing institutions	Education of 9 financing institutions on the economic and financial benefits of EEL systems initiatives, through training conducted in Metro Manila and Cebu (including Mindanao participants as well) in the evaluation of EEL system project proposals and help them develop their EEL project portfolio Assist DBP in the design of EEL financing promotional materials	22,000	21,295.39	97%
Component 5				
Formulate and implement policies and guidelines on managing Hg containing lamp wastes	Partnership arrangements with the Department of Environment and Natural Resources-Environment Management Bureau (DENR-EMB) for the lamp waste management program development	35,000 24,501	32,751.38 2,165.88	94% 9%
	Developed guidelines on lamp waste management and development of national and local guidelines			
Establish lamp waste processing facility	Partnership arrangements with DoloMatrix on the transport, recycling and disposal of lighting products.	10,000		0%
	Started disseminating proper lamp waste management/disposal to various sector.			
Component 6				
Project Management and Administration		697,778	394,219.95	56%
Project Monitoring and Evaluation: Survey of compliance of project activities		50,000 69,500	36,431.09	73% 0%
Evaluation of Project Results		17,120	512.58	3%
Financial and Management Audits		12,500	9,732.05	78%
TOTAL		**3,130,654**	**1,841,993.00**	**59%**

On the project level, it will assess the project performance in terms of: (a) Progress towards achievement of results, (b) Factors affecting successful implementation and achievement of results, (c) Project Management framework, and (d) Strategic partnerships.

4.1 *Progress towards achievement of results* (internal and within project's control)

- Is the Project making satisfactory progress in achieving project outputs vis-à-vis the targets and related delivery of inputs and activities?
- Are the direct partners and project consultants able to provide necessary inputs or achieve results?
- Given the level of achievement of outputs and related inputs and activities to date, is the Project likely to achieve its Immediate Purpose and Development Objectives?
- Are there critical issues relating to achievement of project results that have been pending and need immediate attention in the next period of implementation?

4.2 *Factors affecting successful implementation and achievement of results* (beyond the Project's immediate control or project-design factors that influence outcomes and results)

- Is the project implementation and achievement of results proceeding well and according to plan, or are there any outstanding issues, obstacles, bottlenecks, etc. on the consumer, government or private sector or the electricity industry as a whole that are affecting the successful implementation and achievement of project results?
- To what extent does the broader policy environment remain conducive to achieving expected project results, including existing and planned legislations, rules, regulations, policy guidelines and government priorities?
- Is the project logical framework and design still relevant in the light of the project experience to date?
- To what extent do critical assumptions/risks in project design make true under present circumstances and on which the project success still hold? Validate these assumptions as presently viewed by the project management and determine whether there are new assumptions/risks that should be raised?
- Is the project well-placed and integrated within the national government development strategies, such as community development, poverty reduction, etc., and related global development programs to which the project implementation should align?
- Do the Project's purpose and objectives remain valid and relevant, or are there items or components in the project design that need to be reviewed and updated?

- Are the Project's institutional and implementation arrangements still relevant and helpful in the achievement of the Project's objectives, or are there any institutional concerns that hinder the Project's implementation and progress.

4.3 *Project management* (adaptive management framework)

- Are the project management arrangements adequate and appropriate?
- How effectively is the project managed at all levels? Is it results-based and innovative?
- Do the project management systems, including progress reporting, administrative and financial systems and monitoring and evaluation system, operate as effective management tools, aid in effective implementation and provide sufficient basis for evaluating performance and decision making?
- Is technical assistance and support from project partners and stakeholders appropriate, adequate and timely?
- Validate whether the risks originally identified in the project document and, currently in the APR/PIRs, are the most critical and the assessments and risk ratings placed are reasonable.
- Describe additional risks identified during the evaluation, if any, and suggest risk ratings and possible risk management strategies to be adopted.
- Assess the use of the project logical framework and work plans as management tools and in meeting with UNDP-GEF requirements in planning and reporting.
- Assess the use of electronic information and communication technologies in the implementation and management of the project.
- On the financial management side, assess the cost effectiveness of the interventions and note any irregularities.
- How have the APR/PIR process helped in monitoring and evaluating the project implementation and achievement of results?

4.4 *Strategic partnerships* (project positioning and leveraging)

- Are the project partners and their other similar engagements in the Philippines, strategically and optimally positioned and effectively leveraged to achieve maximum effect of the energy efficiency program objectives for the country?
- Asses how project partners, stakeholders and co-financing institutions are involved in the Project's adaptive management framework.
- Identify opportunities for stronger collaboration and substantive partnerships to enhance the project's achievement of results and outcomes.
- Are the project information and progress of activities disseminated to project partners and stakeholders? Are there areas to improve in the collaboration and partnership mechanisms?

5. Review and Evaluation Methodology

The MTR Team is expected to become well versed as to the project objectives, historical developments, institutional and management mechanisms, activities and status of accomplishments. Information will be gathered through document review, group and individual interviews and site visits. Review relevant project documents and reports will be based on the following sources of information: review of documents related to the Project and structured interviews with knowledgeable parties

The MTR Team will conduct an opening meeting with the National Project Director (NPD), PELMATP Project Management Office (PMO), and relevant officials of the DOE - Energy Research and Testing Laboratory Services (ERTLS), Lighting and Appliance Testing Laboratory (LATL), Energy Utilization Management Bureau (EUMB), Information Technology and Management Services (ITMS), Electric Power Industry Management Bureau (EPIMB) and Consumer Welfare Promotions Office (CWPO) to be followed by an "exit" interview to discuss the findings of the assessment prior to the submission of the draft Final Report.

Prior to engagement and visiting the DOE/PELMATP Project, the MTR Team shall receive all the relevant documents including at least:

- PELMATP Project Document and Project Brief
- Annual Work and Financial Plans
- Annual Project Report/Project Implementation Review (API/PIR) for 2006 and 2007.

To provide more details, as may be needed, the following will be made available for access by the MTR Team:

- Executive summary of all quarterly reports
- Internal monitoring results
- Terms of Reference for past consultants' assignments and summary of the results
- Past audit reports.

The MTR Team should at least interview the following people:

- PELMATP National Project Director
- PELMATP PMO Project Manager
- ERTLS/LATL Chief and Designated Staff
- Technical Specialists for each component
- Administrative Officer
- Financial Officer
- PAB Members
- TWG Members
- UNDP Country Office in Manila in-charge of the PELMATP Project
- Project Co-financiers

- Partner Agencies, Contractors, Consultants, Technical Assistance Providers

With the aim of having an objective and independent evaluation, the MTR Team is expected to conduct the project review according to international criteria and professional norms and standards as adopted by the UN Evaluation Group.

6. MTR Team

The MTR Team will be composed of one International Lead Consultant and one National Consultant. The Team is expected to combine international standards of evaluation expertise, excellent knowledge of the Energy Efficiency and Conservation (EE&C), Market Transformation and Climate Change projects and national context of EE&C and market transformation project and program implementation in the Philippines.

At the minimum, the members of the MTR Team shall have the following professional background and responsibilities:

A. International Lead Consultant

Qualifications/Profile

- Post-Graduate in Engineering, Management or Business;
- Minimum of ten years accumulated and recognized experience in energy efficiency and conservation, market transformation and climate change projects;
- Minimum of five years of project evaluation and/or implementation experience in the result-based management framework, adaptive management and UNDP or GEF Monitoring and Evaluation Policy;
- Familiarity in similar country or regional situations relevant to that of the Philippines;
- Experience with multilateral and bilateral supported EE&C and climate change projects;
- Comprehensive knowledge of international EE&C industry best practices; and
- Advanced report writing skills in English.

Responsibilities

- Documentation review;
- Leading the MTR Team in planning, conducting and reporting on the evaluation;
- Preparation of Detailed Workplan and deciding on division of labor within the Team and ensuring timeliness of reports;
- Use of best practice evaluation methodologies in conducting the evaluation;

- Leading presentation of the draft evaluation findings and recommendations in-country;
- Conducting the debriefing for the UNDP Country Office in Manila and PELMATP Project Management; and
- Leading the drafting and finalization of the MTR Evaluation Report.

B. National Consultant

Qualifications/Profile

- Post-graduate in engineering, management or business, or college degree in said areas with at least ten years of project development and implementation;
- A minimum of five years of project management experience in EE&C, market transformation or related climate change projects;
- EE&C, market transformation and climate change training and technical experience;
- Knowledge of EE&C industry and projects;
- Multilateral and bilateral funded project development and implementation; and
- Familiarity with Philippine national development policies, programs and projects.

Responsibilities

- Documentation review and data gathering;
- Contributing to the development of the evaluation plan and methodology;
- Conducting those 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; and
- Contributing to the drafting and finalization of the evaluation report.

The members of the MTR Team must be independent from both the policy-making process and the delivery and management of the UNDP/GEF assistance. Therefore, candidates who had any direct involvement with the implementation of the PELMATP Project will not be considered.

7. Schedule and Deliverables

The PELMATP MTR will commence in June 16, 2008. An evaluation report will be produced after a month (July 15, 2008), highlighting important observations, analysis of information and key conclusions including its recommendations. Based on the scope of the MTR described above, the Evaluation Report will include, among others (refer to Annex 1 for detailed report outline):

- Findings on the project implementation achievements, challenges, and difficulties to date;
- Assessments of the progress made towards the attainment of outcomes;
- Recommendations for modifications and the future course of action;
- Lessons learned from the project structure, coordination between different agencies, experience of the implementation, and output/ outcome and,

The report will be initially shared with the DOE to solicit comments or clarifications and will be presented to the UNDP Country Office (CO) in Manila for further deliberations. Consequently, the final MTR Report (in three copies) will be made and submitted to the UNDP CO with a copy furnished to the DOE.

There will be two (2) main deliverables:

- Mid-Term Review Report, including an executive summary, fulfilling the evaluation requirements set out in this Terms of Reference (TOR). The final report is to be cleared and accepted by UNDP CO in Manila before final payment. The final report (including executive summary, but excluding annexes) should not exceed 50 pages.
- A power-point presentation of the findings of the evaluation. Depending upon the complexity of the findings, UNDP CO in Manila may consider organizing a half-day stakeholders meeting at which to make a presentation to the partners and stakeholders.

8. Budget

All costs to be incurred in the conduct of the MTR shall be charged against the PELMATP Project funds allocated for such activity. Payment of the MTR Team's professional fees shall be made in accordance with the Service Contract to be issued for this purpose.

Annex 1: Annex 3: Format for Mid-Term Evaluation Report

Length: To better support use of the evaluation, the main report should not exceed 50 pages.

1. **Executive summary**

2. **Purpose of the evaluation**
   - Restate the purpose of the mid-term project evaluation
   - How this evaluation fits into project cycle and project planning/review activities

3. **Evaluation methodology**
   - Methods used
   - Workplan
   - Team composition

4. **Background**
   - Country context (policy, institutional environment with relevance to UNDP/GEF programme intervention)
   - Project rationale (national EE&C programs, goals, strategies, use of efficient lighting, contribution to the national EE&C and climate change programs, etc – as foreseen in project document)
   - Project status (implementation, financial)

5. **Evaluation**

This section of the report to be structured as per the scope of the evaluation outlined in TOR (Section 4).

5.1 Results achievement
- Include table listing development and immediate objectives, outputs and indicators. Include end-of-project targets and latest data on target achievements to date.
- Output achievements (with reference to Annual workplan, and evaluative evidence)
- Likelihood of outcome/immediate objective and development objective achievement
- Other critical issues related to results achievement

5.2 Factors affecting successful implementation and results achievement
- External factors
- Project-related factors

5.3 Strategic positioning and partnerships

5.4 Sustainability of results and exit strategy/post project planning

5.5 Lessons

Extract critical lessons at two levels:
- Project-level lessons
- Partner-specific lessons

5.6 Recommendations

Make recommendations to improve the project based on the evaluation and lessons.

Annexes

To include, at minimum:

- Evaluation Follow-up Matrix
- TOR
- List of people interviewed/focus group discussions, etc
- References

Format for the Evaluation Summary

This is a 4-5-page summary of the Evaluation Report. This is distinct from the Executive Summary, and should serve as a self-contained summary that may be read without reference to the main report. The Evaluation Summary should follow this outline:

1. Project data sheet
2. Background to the project
3. Description of the project
4. Purpose of the evaluation
5. Key findings of the evaluation mission
6. Lessons learned
7. Recommendations of the mission
8. Evaluation team composition