

## UNDP-GEF Midterm Review

### Terms of Reference

#### BASIC CONTRACT INFORMATION

Location: Home based (with one trip to Kazakhstan, to Astana, Kostanay, Ust-Kamenogorsk cities)

Application Deadline: July 25, 2016

Category: Sustainable Development/Urbanization Unit

Type of Contract: Individual Contract

Assignment Type: International Consultant

Languages Required: English

Starting Date: 8 August 2016 (approximate date)

Duration of Initial Contract: 28 working days after signing of a contract

Expected Duration of Assignment: August – September, 2016

#### BACKGROUND

**A. #00085149, NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan**

#### **B. Project Description**

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled "NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan" (PIMS#4612) implemented through the Ministry of Energy of the Republic of Kazakhstan (former the Ministry of Environment Protection), which is to be undertaken in 2013-2017. The project started on the Project Document signature date: 22.10.2013 and is in its third year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). The MTR process must follow the guidance outlined in the document Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects (see Annex).

The UNDP-supported GEF-financed project «NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan» has the target of reducing emission levels of unintentional persistent organic pollutants (POPs) and other pollutants in the environment by promoting sound healthcare waste management in Kazakhstan; and to assist the country in implementing commitments in the framework of Stockholm convention.

The project is working in three main dimensions.

The first outcome is related to updating national implementation plan for the commitments under Stockholm convention in the part of new and unintentional persistent organic pollutants, increase POPs monitoring capability, and improve institutional coordination of INC on chemicals.

The second outcome is aimed at assessment of mercury situation in general, to prepare recommendations on accession to Minamata convention and draft preliminary plan on reduction of mercury use.

In the third outcome the plan is to conduct activities, aimed at taking measures to minimize emissions of unintentional persistent organic pollutants (hereinafter uPOPs) when decontaminating healthcare waste. And it is aimed at creation and demonstration of the safe healthcare waste management system in pilot territories. As pilots, the following have been selected: East-Kazakhstan, Kostanay regions and the city of Astana.

The fourth component is aimed at monitoring, education, adaptation and feedback.

Project document was signed in October 2013, and project implementation started in April 2014. The full project budget is 38.4 million USD, with contribution of GEF of 3.4 million USD.

The implementing agency from the Government of Kazakhstan is Ministry of energy of the Republic of Kazakhstan.

## **DUTIES AND RESPONSIBILITIES**

### **C. Scope of Work and Key Tasks**

The MTR team will consist of two independent consultants that will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project.

The MTR team will first conduct a document review of project documents (i.e. PIF, UNDP Initiation Plan, Project Document, ESSP, Project Inception Report, PIRs, Finalized GEF focal area Tracking Tools, Project Appraisal Committee meeting minutes, Financial and Administration guidelines used by Project Team, project operational guidelines, manuals and systems, etc.) provided by the Project Team and Commissioning Unit. Then they will participate in a MTR inception workshop to clarify their understanding of the objectives and methods of the MTR, producing the MTR inception report thereafter. The MTR mission will then consist of interviews and site visits to : Astana city, Kostanay region, East-Kazakhstan region.

The MTR team will assess the following four categories of project progress and produce a draft and final MTR report. See the [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#) (attached or hyperlinked) for requirements on ratings. No overall rating is required.

#### **1. Project Strategy**

##### *Project Design:*

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.

- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results.
- Review how the project addresses country priorities
- Review decision-making processes

*Results Framework/Logframe:*

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.

**2. Progress Towards Results**

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for the project objective and each outcome; make recommendations from the areas marked as "not on target to be achieved" (red).
- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

**3. Project Implementation and Adaptive Management**

Using the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; assess the following categories of project progress:

- Management Arrangements
- Work Planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder Engagement
- Reporting
- Communications

**4. Sustainability**

Assess overall risks to sustainability factors of the project in terms of the following four categories:

- Financial risks to sustainability
- Socio-economic risks to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

The MTR consultant/team will include a section in the MTR report setting out the MTR's evidence-based conclusions, in light of the findings.

Additionally, the MTR consultant/team is expected to make recommendations to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. The MTR consultant/team should make no more than 15 recommendations total.

#### **D. Expected Outputs and Deliverables**

The MTR consultant/team shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to the Commissioning Unit and project management. Approximate due date: August 1-2, 2016.
- Presentation: Initial Findings presented to project management and the Commissioning Unit at the end of the MTR mission. Approximate due date: August 29-31, 2016.
- Draft Final Report: Full report with annexes. Approximate due date: September 5-9, 2016.
- Final Report\*: Revised report with annexed audit trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Approximate due date: September 14-20, 2016.

\*The final MTR 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.

#### **E. Institutional Arrangement**

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

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

#### **F. Duration of the Work**

The total duration of the MTR will be approximately 28 days over a period starting on July 2016 to September 2016, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

- *July 25, 2016*: Application closes
- *July 26-August 1, 2016*: Selection of MTR Team
- *August 1-2, 2016, 2 days*: Prep the MTR Team (handover of project documents)-
- *August 4-5, 2016, 2 days*: Document review and preparing MTR Inception Report
- *August 6-8, 2016, 3 days*: Finalization and Validation of MTR Inception Report –
- *August 22-31, 2016, 8 days*: MTR mission: stakeholder meetings, interviews, field visits. Concluding Stakeholder Workshop. Mission wrap-up meeting & presentation of initial findings.
- *September 5-9, 2016, 5 days*: Preparing draft report

- *September 12-13 , 2016 2 days:* Incorporating audit trail on draft report/Finalization of MTR report
- *September 14-20 , 2016, 5 days:* Preparation & Issue of Management Response
- *September 21 , 2016,1 day:* Expected date of full MTR completion

The date start of contract is approx. July 28, 2016.

## G. Duty Station

Home based with one trip to Kazakhstan

Travel:

- International travel will be required travel to Kazakhstan, with the trip to Astana city , Kostanay region and East-Kazakhstan region during the MTR mission;
- The Basic Security in the Field II and Advanced Security in the Field courses must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under: <https://dss.un.org/dssweb/>
- All related travel expenses within the Kazakhstan (the trip from duty station to Kazakhstan and back from Kazakhstan to duty station, will not be covered by UNDP, applicant has to include the travel fees in his/her Financial Proposal) will be covered and will be reimbursed as per UNDP rules and regulations upon submission of original of boarding passes/train tickets.

## REQUIRED SKILLS AND EXPERIENCE

### H. Qualifications of the Successful Applicants

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

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART targets and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to *(fill in GEF Focal Area)*;
- Experience working with the GEF or GEF-evaluations;
- Competence in Adaptive Management, as applied to chemicals and/or hazardous waste management projects;
- Recognized expertise in the management of chemicals and hazardous waste;
- Familiarity with chemicals and hazardous waste management policies and governance structures in Kazakhstan;
- Work experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and *(fill in GEF Focal Area)*; experience in gender sensitive evaluation and analysis;
- Excellent communication skills;
- Demonstrable analytical skill;
- Project evaluation/review experiences within United Nations system will be considered an asset;
- A Master's degree in the sphere of chemical matters/ hazardous wastes, biology, medical sphere or other closely related fields;

**Consultant Independence:**

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

## **APPLICATION PROCESS**

### **I. Scope of Price Proposal and Schedule of Payments**

#### *Financial Proposal:*

- Financial proposals must be "all inclusive" and expressed in a lump-sum for the total duration of the contract. The term "all inclusive" implies all cost (professional fees, travel costs from duty station to Kazakhstan and back from Kazakhstan to duty station, living allowances etc.);
- For duty travels, the UN's Daily Subsistence Allowance (DSA) rates for Astana city is USD 335 per day, and for other Kazakhstan regions is USD 162 per day, which should provide indication of the cost of living in a duty station/destination
- The lump sum is fixed regardless of changes in the cost components.

#### *Schedule of Payments:*

40% of payment upon approval of the MTR Inception Report  
30% upon submission of the draft MTR Report  
30% upon finalization of the MTR Report

Or, as otherwise agreed between the Commissioning Unit and the MTR team.

### **J. Recommended Presentation of Offer**

- a) Completed Letter of Confirmation of Interest and Availability using the template provided by UNDP;
- b) **Personal CV or a P11 Personal History form**, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references;
- c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP. See Letter of Confirmation of Interest template for financial proposal template.

Incomplete applications will be excluded from further consideration.

### **K. Criteria for Selection of the Best Offer**

The award of the contract will be made to the Individual Consultant who has obtained the highest Combined Score and has accepted UNDP's General Terms and Conditions. Only those applications which are responsive and compliant will be evaluated. The offers will be evaluated using the "Combined



Scoring method" where:

- a) The educational background and experience on similar assignments will be weighted a max. of 70%;
- b) The price proposal will weigh as 30% of the total scoring.

## L. Annexes to the MTR ToR

- List of documents to be reviewed by the MTR Team
  - GEF Project Identification Form (PIF)
  - UNDP Initiation Plan
  - UNDP Project Document
  - UNDP Environmental and Social Screening results
  - Project Inception Report
  - All Project Implementation Reports (PIR's)
  - Quarterly progress reports and work plans of the various implementation task teams
  - Audit reports
  - Finalized GEF focal area Tracking Tools at CEO endorsement and midterm (fill in specific TTs for this project's focal area)
  - Oversight mission reports
  - All monitoring reports prepared by the project
  - Financial and Administration guidelines used by Project Team
  - The following documents will also be available:
    - Minutes of the Project "NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan" Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
- Guidelines on Contents for the Midterm Review Report
- Logical framework of the Project
- UNEG Code of Conduct for Evaluators/Midterm Review Consultants
- MTR Required Ratings Table and Ratings Scales
- MTR Report Clearance Form
- Sample MTR Evaluative Matrix
- Progress Towards Results Matrix and MTR Ratings & Achievement Summary Tables (in Word)

COA (should be specified in numbers)							
Project ID	Activity	Account	Sum	Fund	Dept. ID	Implementing agency	Donor
85149	Activity 4	71305		62000	55205	001101	10003
<b>Total:</b>							

Job description endorsed by:			
Supervisor			
Nina Gor/Project Coordinator	Signature		1.07.2016
Programme officer			
Victoria Baigazina/Programme Associate	Signature		1.07.2016