

UNDP-GEF MIDTERM REVIEW TERMS OF REFERENCE – International Consultant

Mainstreaming Sustainable Forest Management in the Miombo Woodlands of Western Tanzania

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full sized project titled “Mainstreaming Sustainable Forest Management in the Miombo Woodlands of Western Tanzania” (PIMS 3091) implemented through the **Vice President’s Office (VPO)** as the Executing Agency, which is to be undertaken in 2016. The project document signature was finalized on 15th June 2012, however, the inception workshop and launching of the project could not take place until April 2013 due to various reasons that delayed the effective start of project activities until October 2013. This ToR sets out the expectations for this MTR

The MTR process will follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed projects*

(http://www.mn.undp.org/content/dam/mongolia/Procurement/proc-notices/ProcurementAnnouncement2014/EbA/20140827/Guidance%20for%20Conducting%20Midterm%20Reviews%20of%20UNDP-Supported%20GEF-Financed%20Projects_Final_June%202014.pdf).

2. PROJECT BACKGROUND INFORMATION AND OBJECTIVES

The project was designed to ensure that biodiversity conservation is mainstreamed into economic planning and development, so that agricultural productivity and sustainable livelihoods are improved while simultaneously improving the ecological integrity of the Miombo ecosystem of Western Tanzania, including securing its productivity from negative effects of climate change in Tabora and Katavi regions. For this reason, the United Republic of Tanzania (URT) with support from the Global Environment Facility (GEF), through United Nations Development Programme (UNDP), is implementing a 5-year project in response to the fact that despite its local and global significance, the Miombo Woodland is experiencing serious threats that are affecting biodiversity and livelihoods in the Miombo ecosystem. The long term solution to the threats as a whole is the adoption of sustainable-use management practices for resources harvested by local people for subsistence and local economic growth, and better regulation of commercial activities. The Government agreed to resolve these problems through a pilot project that mainstreams Sustainable Forest Management into the production systems in the central part of Tabora with activity spreading to Katavi.

Project Goal, Objective and Outcomes:

The overall Goal of the project is that “Sustainable Forest Management secures ecosystem and biodiversity values while providing a buffer to the Congolian Rain forest, ensuring food security and sustainable livelihoods. The objective of the project is “To enable Miombo dependent communities to adopt productive practices that are favorable to biodiversity conservation, reduce carbon emissions from land use change and improve livelihoods”. The project’s immediate focus is an area of 133,400 hectares covering which used to be 4 wards but now 13 in Kaliua, Urambo and Uyui in Tabora region, and Mlele district in Katavi. The project was initially targeting 12,530 households spread over

28 villages in the project area but because of administrative changes of districts and region it is presently benefiting 16,096 households in 42 villages.

The project objective will be achieved through achievement of a number of outputs designed to address 4 key outcomes as follows:

- i) Policy regulatory framework and institutional arrangements support Sustainable Forest Management Component;
- ii) Strengthening skills and capacities for knowledge based CBFM/JFM, integrated soil fertility management and forest use planning Component;
- iii) Adoption of Sustainable charcoal and energy switch reduce pressure on woodlands; and
- iv) Markets and technology support expansion of livelihood options to reduce pressure on agriculture and natural resources and increase income in the pilot wards.

A fifth smaller component will support project management to ensure delivery of results and impacts.

Project Implementation arrangement

The project is executed under the National Implementation Modality (NIM) by the Government through the **Vice President's Office (VPO)**, and the Regional Administrative Secretary (RAS) Tabora (**lead**); RAS Katavi in close collaboration with the Tanzania Forest Services (TFS), Ministry of Energy and Mineral Development; Ministry of Agriculture Livestock and Fisheries (formerly Ministry of Agriculture), Land Use Planning, CSOs and other related partners as need arise. The (RAS) Tabora is coordinating actual field activities on the ground to ensure achievement of the project outcomes, and that project implementation involves all other relevant stakeholders, including research/academic institutions, NGOs. The project total budget from GEF is US\$. 2,745,000 and UNDP cash co-financing of US\$ 800,000. Parallel Government contribution is estimated at the tune of US\$ 5,900,000. Activities been undertaken by the tobacco companies in the project areas is estimated at US \$. 3,566,666 and REDD activities through IRA is estimated at 3,500, 000 making a total allocated resources cash and none cash is US\$ **16,511,666**.

3. OBJECTIVES OF THE MTR

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy, its risks to sustainability.

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Socio Environmental Standards Policy, the Project Document, project reports including Annual Project Review/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 review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins. The MTR team shall follow a collaborative and participatory approach¹ to ensuring close engagement with the project team,

¹ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

government counterparts including the GEF Operational Focal Point, the UNDP Country Office, UNDP-GEF Regional Technical Adviser and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR2. Stakeholder involvement should include interviews with partners who have project responsibilities, including but not limited to executing agencies; senior officials and task team/ component leaders; key experts and consultants involved in the subject area; Project Steering Committee; academia; local government; and project stakeholders (RAS Tabora and Katavi); Director of Environment- VPO, PORALG, MNRT/TFS, Ministry of Energy and Minerals; Ministry of Agriculture; Land Use Planning and CSOs.

Additionally, the MTR team is expected to conduct field missions to Tabora (Uyui, Urambo and Kaliua districts) and Katavi (Mlele) regions involved in the project. The final MTR report shall describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. DETAILED SCOPE OF THE MTR

The MTR team will assess the following four categories of project progress. See the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

5.1 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. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

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.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?

² For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

- 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.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART ‘development’ indicators, including sex-disaggregated indicators and indicators that capture development benefits.

5.2 Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following 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 each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

Table on Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ³	Baseline Level ⁴	Level in 1 st PIR (self-reported)	Midterm Target ⁵	End-of-project Target	Midterm Level & Assessment ⁶	Achievement Rating ⁷	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline (if any) with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

³Populate with data from the Logframe and scorecards

⁴Populate with data from the Project Document

⁵ If available

⁶ Colour code this column only

⁷Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

5.3 Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?

- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

5.4. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

5.5. CONCLUSION & RECOMMENDATIONS

The MTR team will include a section of the report setting out the MTR’s evidence-based conclusions, in light of the findings.⁸

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. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR team should make no more than 15 recommendations total.

Ratings

The MTR team will include its ratings of the project’s results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

MTR Ratings & Achievement Summary Table for the Tanzania SFM Miombo Project

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	

⁸ Alternatively, MTR conclusions may be integrated into the body of the report.

	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the MTR will be approximately 24 working days starting towards end of March 2016, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
15 th March 2016	Application for consultants closes
16 th to 25 th March 2016	Selection of MTR Team in completed
26 th March – 1 st April 2016 (3.W. days)	Engage the consultant and handover of Project documents; document review; including preparation of draft MTR inception report
4 th – 5 th April (2.W. days)	Consultations in Dar(UNDP/Vice President’s Office/Ministry of Natural Resources and Tourism (Tanzania Forest Services Agency)/Ministry of Finance/Ministry of Energy and Minerals & Institute of Resource Assessment
6 th – 21 th April (12 w. days)	MTR team in Katavi: presentation of Inception Report for validation in the project Focal Point office within RAS Katavi followed by stakeholder meetings, interviews and field visits which will end up in Tabora
25 th April 2016(1 w. days)	Mission wrap-up meeting & Presentation of initial MTR findings to the PSC in Tabora
26 th to 28 April 2016 (3 w days)	Final Finalization of the draft report by MTR team and submit to UNDP CO/PCU
28 th April - 12 th May 2016	Allow time for stakeholders to provide comments
13 th to 17 th May 2016 (3 w. days)	Incorporating comments including audit trail from feedback on draft report/Finalization of MTR report and submit to UNDP
18 th to 30 th May 2016	Preparation & Issue of Management Response
31 st May 2016	Expected date of full MTR completion

Options for site visits and interviews should be provided in the Inception Report.

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR team clarifies objectives and methods of Midterm Review	No <u>later than</u> <u>2</u> weeks before the MTR mission	MTR team submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission	MTR Team presents to project management and the Commissioning Unit

3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the UNDP CO, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detail indicating how comments have (or have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft	Sent to the UNDP CO

*The final MTR report must be in English. If applicable, the UNDP CO in consultation with PCU may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the UNDP CO in Dar es Salaam, Tanzania in collaboration with the Project Coordination Unit (PCU) in Tabora. The UNDP CO will contract the consultants and ensure the logistical arrangements are in place. The project team in Tabora will be responsible for logistical arrangements to the field visits and they will oversee the field programme. In consultation with the review team, PCU will assist in setting up stakeholder interviews; arrange field visits and consultation with leadership of all collaborating partners.

9.0 MTR TEAM COMPOSITION

The Mid-Term Review exercise will be conducted by a team of two independent consultants. One a team leader (with experience and exposure to projects and evaluations in other regions globally) and one national expert. The international consultant will serve as overall Team Leader and will be responsible for the quality of the final report submitted to UNDP. The two consultants will form a team making a joint presentation to a project Steering Committee planned to take place on 25th April 2016 in Tabora as well as submission of the final report to UNDP CO at the end of the assignment. 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.

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

9.1 Competencies

- 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 biodiversity, sustainable forest management and climate change mitigation,
- Experience in working with GEF or GEF – evaluations
- Experience working in East Africa
- Work experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and the above mentioned GEF focal areas; experience in gender sensitive evaluation and analysis;
- Excellent communication skills;

- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;

9.2 Required Skills and Experience

9.2.1 Education

- Master's degree in a relevant area such as Biodiversity Management, Sustainable Land Management, Environmental sciences and Natural resources Management or other closely related fields.

9.2.2 Language

- Fluent in written and spoken English
- Swahili will be added advantage

10. PAYMENT MODALITIES AND SPECIFICATIONS

- 10% of payment upon approval of the final MTR Inception Report
- 30% upon submission of the draft MTR report
- 60% upon finalization of the MTR report and approved by the RTA and CO

Approval

This TOR is approved by:

Signature: _____

Name: **Amon Manyama**

Designation: **Practice Specialist/Head of Programme**

Date: _____

11. APPLICATION PROCESS⁹

Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)¹⁰ provided by UNDP;
- b) **CV** and a **Personal History Form** ([P11 form](#)¹¹);
- 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 and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

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

ANNEX A to the TOR: List of Documents to be reviewed by the MTR Team

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Implementation Reports (PIR's)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm (Biodiversity SO2 and CC Mitigation Tracking Tools.
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by Project Team

The following documents will also be available:

13. Project operational guidelines, manuals and systems
14. UNDP country/countries programme document(s)

⁹Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: <https://info.undp.org/global/popp/Pages/default.aspx>

¹⁰<https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

¹¹http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

15. Minutes of the Mainstreaming Sustainable Forest Management in the Miombo Woodlands of Western Tanzania Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
16. Project site location maps

ANNEX B of the TOR: Guidelines on Contents for the Midterm Review Report¹²

The length of the Report should not exceed 40 pages in total (not including annexes)

- i.** Basic Report Information (*for opening page or title page*)
 - Title of UNDP supported GEF financed project
 - UNDP PIMS# and GEF project ID#
 - MTR time frame and date of MTR report
 - Region and countries included in the project
 - GEF Operational Focal Area/Strategic Program
 - Executing Agency/Implementing Partner and other project partners
 - MTR team members
 - Acknowledgements
- ii.** Table of Contents
- iii.** Acronyms and Abbreviations
- 1.** Executive Summary (*3-5 pages*)
 - Project Information Table
 - Project Description (brief)
 - Project Progress Summary (between 200-500 words)
 - MTR Ratings & Achievement Summary Table
 - Concise summary of conclusions
 - Recommendation Summary Table
- 2.** Introduction (*2-3 pages*)
 - Purpose of the MTR and objectives
 - Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
 - Structure of the MTR report
- 3.** Project Description and Background Context (*3-5 pages*)
 - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - Problems that the project sought to address: threats and barriers targeted
 - Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
 - Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
 - Project timing and milestones
 - Main stakeholders: summary list
- 4.** Findings (*12-14 pages*)

¹² The Report length should not exceed 40 pages in total (not including annexes).

- 4.1 Project Strategy
 - Project Design
 - Results Framework/Logframe
- 4.2 Progress Towards Results
 - Progress towards outcomes analysis
 - Remaining barriers to achieving the project objective
- 4.3 Project Implementation and Adaptive Management
 - Management Arrangements
 - Work planning
 - Finance and co-finance
 - Project-level monitoring and evaluation systems
 - Stakeholder engagement
 - Reporting
 - Communications
- 4.4 Sustainability
 - Financial risks to sustainability
 - Socio-economic to sustainability
 - Institutional framework and governance risks to sustainability
 - Environmental risks to sustainability
- 5. Conclusions and Recommendations (4-6 pages)
 - Conclusions
 - 5.1 • Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project
 - Recommendations
 - 5.2 • Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives
- 6. Annexes
 - MTR ToR (excluding ToR annexes)
 - MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
 - Example Questionnaire or Interview Guide used for data collection
 - Ratings Scales
 - MTR mission itinerary
 - List of persons interviewed
 - List of documents reviewed
 - Co-financing table (if not previously included in the body of the report)
 - Signed MTR final report clearance form
 - *Annexed in a separate file:* Audit trail from received comments on draft MTR report
 - *Annexed in a separate file:* Relevant midterm tracking tools

ANNEX C to TOR: Midterm Review Evaluative Matrix Template

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
(include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

ANNEX D to ToR: UNEG Code of Conduct for Evaluators/Midterm Review Consultants¹³

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.

MTR Consultant Agreement Form

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at _____ (Place) on _____ (Date)

Signature: _____

ANNEX E to the ToR: Midterm Ratings

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.

¹³ www.undp.org/unegcodeofconduct

3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project’s closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

ANNEX D to the ToR: MTR Report Clearance Form

(to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____ Date: _____

UNDP-GEF Regional Technical Advisor

Name: _____

Signature: _____ Date: _____