## UNDP-GEF Midterm Review Terms of Reference

|  |  |
| --- | --- |
| **Post Title:** | IC to conduct the MTR of the UNDP-GEF Resource Efficiency Project |
| **Agency/Project Name:** | UNDP |
| **Country Of Assignment:** | Home-based, with one mission to Seychelles |
| **Duration Of Contract** | 26 days not exceeding 5 months with 11 days in country for field mission |
| **Expected Start Date** | 15th Dec 2016 |

**Standard Template 1: Formatted for attachment to** [**UNDP Procurement Website**](http://procurement-notices.undp.org/)

1. **INTRODUCTION**

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *medium-*sized project titled **Promotion and upscaling of climate-resilient, resource efficient technologies in a tropical island context** (PIMS 4913) implemented through the Ministry of Environment, Energy and Climate Change, GOS-UNDP-GEF Programme Coordination Unit, which is to be undertaken in *December 2016 to February 2017*. The project started on the 13th June 2014 and at the time of the MTR will be in its *third* year of implementation. This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (*insert hyperlink*).

**2. PROJECT BACKGROUND INFORMATION**

The project was designed to address, in part, Seychelles dependency on imported oil to meet its energy needs (90% of the primary energy supply comes from imported fuel, with imports of fuel for electricity generation alone accounting for 12% of the total government budget). This heavy reliance on imported fossil fuels places heavy pressure on the country’s foreign exchange reserves, exacerbates state budget deficits, and poses major energy security concerns, both in terms of access to supplies and pricing. A market for energy efficient appliances is developing in the Seychelles. However, this market has been constrained in many ways, including: a lack of consumer awareness about EE appliances, extremely limited purchase options for EE appliances (apart from energy saving lights), the inability of consumers to get bank loans or store financing for the purchase of high-value EE appliances (such as air conditioning units, refrigerators/freezers, and washing machines), and the absence of any standards or labelling schemes or requirements for EE appliances in the country. For this reason, the GEF project is providing technical assistance for regulatory, standards setting, educational, data collection and training needs to help set the stage for the growth of the energy efficient appliances market in the country. In addition, the project provides critical catalytic support to programs designed to provide concessionary financing for energy efficient appliances and water saving devices, specifically the Seychelles Energy Efficiency and Renewable Energy Program (SEEREP), a financing scheme for the residential sector to purchase EE appliances, and a credit facility of the Development Bank of Seychelles (DBS) to provide concessionary finance for the adoption of EE technologies in Small and Medium Enterprises (SME loans scheme). The project plays a critical facilitating role for these financing programs, through development of the necessary policy frameworks, providing capacity building for financial institutions, banks and other participants to enable their participation in the programs, and increasing public awareness about the programs and the opportunities and options for end users to purchase resource efficient technologies with concessionary financing. The project is for four years (2014-2018). It has a budget of US$ 12,025,203 with a GEF grant of US$ 1,770,000 and planned co-financing of US$ 10,28255,203. The project is managed by the GOS-UNDP-GEF Programme Coordination Unit (PCU) of the Ministry of Environment, Energy and Climate Change (MEECC), and implemented in association with the Seychelles Energy Commission (SEC) and other stakeholders.

**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 and its risks to sustainability.

**4. MTR APPROACH & METHODOLOGY**

The MTR must provide evidence based information that is credible, reliable and useful. The MTR Consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard 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 MTR Consultant considers useful for this evidence-based review). The MTR Consultant 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 Consultant is expected to follow a collaborative and participatory approach[[1]](#footnote-1) ensuring close engagement with the Project Consultant, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.[[2]](#footnote-2) Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to: MEECC (executing agency), PCU (ceded the role of executing the project by the MEECC), SEC (implementing agency)), Project Board, key project stakeholders (Public Utilities Corporation, Ministry of Finance Trade and Blue Economy, Development Bank of Seychelles, Seychelles Bureau of Standards, Land and Waste Management Agency, Seychelles Institute of Technology, Sustainability for Seychelles, residential and business end users, etc.

The final MTR report should 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 Consultant 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.

**i. 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 (or of participating countries in the case of multi-country projects)?
* 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?
* 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.

**ii. 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. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Strategy** | **Indicator[[3]](#footnote-3)** | **Baseline Level[[4]](#footnote-4)** | **Level in 1st PIR (self- reported)** | **Midterm Target[[5]](#footnote-5)** | **End-of-project Target** | **Midterm Level & Assessment[[6]](#footnote-6)** | **Achievement Rating[[7]](#footnote-7)** | **Justification for Rating** |
| **Objective:** | Indicator 1-3: |  |  | n/a |  |  |  |  |
| **Outcome 1:** | Indicator 4-9: |  |  |  |  |  |  |  |
| Etc. |  |  |  |  |  |
| **Outcome 2:** | Indicator 10-15 |  |  |  |  |  |  |  |
| Etc. |  |  |  |  |  |
| **Outcome 3:** | Indicator 16-18 |  |  |  |  |  |  |  |
| Etc. |  |  |  |  |  |
| **Outcome 4:** | Indicator 19-23 |  |  |  |  |  |  |  |
| Etc. |  |  |  |  |  |

**Indicator Assessment Key**

|  |  |  |
| --- | --- | --- |
| Green= Achieved | Yellow= On target to be achieved | Red= Not on target to be achieved |

In addition to the progress towards outcomes analysis:

* 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 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.

**iii. 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 Consultant 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 Consultant 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.

**iv. 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?

**Conclusions & Recommendations**

The MTR Consultant will include a section of the report setting out the MTR’s evidence-based conclusions, in light of the findings.[[8]](#footnote-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 Consultant should make no more than 15 recommendations total.

**Ratings**

The MTR Consultant 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.

Table. MTR Ratings & Achievement Summary Table for Outer Islands 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) |  |
| **Project Implementation & Adaptive Management** | (rate 6 pt. scale) |  |
| **Sustainability** | (rate 4 pt. scale) |  |

1. **TIMEFRAME**

The total duration of the MTR will be approximately *26 days* over a time period of 4 month starting 15TH *December 2016,* and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

|  |  |
| --- | --- |
| **TIMEFRAME** | **ACTIVITY** |
| *15th November 2016* | Application closes |
| *15th December* | Contract Issued |
| *20th December* | Prep the MTR consultant (handover of Project Documents) |
| *3rd - 5th January 2017 (3 days)* | Document review and preparing MTR Inception Report |
| *20th January (1 day)* | Finalization andValidation of MTR Inception Report- latest start of MTR mission |
| *23rd – 31st January (11 days including travel)* | MTR mission: stakeholder meetings, interviews, field visits |
| *31st January 2017* | Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission |
| *1st – 22nd February (8 days)* | Preparing draft report |
| *9th – 10th March (2 days)* | Incorporating audit trail from feedback on draft report/Finalization of MTR report |
| *13th – 14th March* | Preparation & Issue of Management Response |
|  | Concluding Stakeholder Workshop (not mandatory for MTR Consultant) |
| *15th March* | Expected date of full MTR completion |

Options for site visits should be noted in the Inception Report.

1. **MIDTERM REVIEW DELIVERABLES**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Deliverable** | **Description** | **Timing** | **Responsibilities** |
| **1** | **MTR Inception Report** | MTR Consultant clarifies objectives and methods of Midterm Review | No later than 2 weeks before the MTR mission: (5th January) | MTR Consultant submits to the Commissioning Unit and project management |
| **2** | **Presentation** | Initial Findings | End of MTR mission: (31st January) | MTR Consultant 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: (22nd February) | Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP |
| **4** | **Final Report\*** | Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report | Within 1 week of receiving UNDP comments on draft: (10th March) | Sent to the Commissioning Unit |

\*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.

1. **MTR ARRANGEMENTS**

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project’s MTR is the UNDP Seychelles Country Office (under the UNDP Seychelles-Mauritius Country Office).

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

1. **CONSULTANT COMPOSITION**

One international independent consultant will conduct the MTR - one Consultant with experience and exposure to projects and evaluations in other regions globally. The Consultant 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 Consultant will be aimed at maximizing the qualifications in the below areas. 70% of points will be awarded for the technical qualifications and 30% for the financial bid.

* 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 GEF CCM Focal Area;
* Experience working with the GEF or GEF-evaluations;
* Experience working in SIDS, preferably in the Western Indian Ocean;
* Work experience in relevant technical areas for at least 10 years;
* Demonstrated understanding of issues related to gender and climate change mitigation actions; 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;
* A Master’s degree in Energy Studies, or other closely related field.

1. **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

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

1. **APPLICATION PROCESS[[9]](#footnote-9)**

**Presentation of Proposal (all sections must be completed):**

1. **Letter of Confirmation of Interest and Availability** using the [template](https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx)[[10]](#footnote-10) provided by UNDP;
2. **CV** and a **Personal History Form** ([P11 form](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)[[11]](#footnote-11));
3. **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);
4. **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](http://procurement-notices.undp.org/view_file.cfm?doc_id=29916). 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.

All application materials should be submitted using the UNPD Jobs site (<https://jobs.undp.org>) ***on 15th November 2016.*** Incomplete applications will be excluded from further consideration.

**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.

The Evaluaton Criteria for technical Evaluation will be the following

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Education:**  **MA in Energy Efficiency or related fields** | **Technical Qualification:**  **At least 8 years of evaluation experience. Knowledge of RBM, SMART tools and criteria. SIDS evaluation experience is preferable** | **UNDP-GEF Experience:**  **Must have conducted at least 3 UNDP-GEF evaluations. Must have Knowledge of UNDP-GEF process. Focus on Gender issues and RE is an advantage** | **Stakeholder Engagement:**  **Demonstrated ability to work in diverse environemnt** | **Language and Communication**  **Demonstrated skills in report writing. Fluency in English. Familiarity with French/Creole is an advantage** |
| **15** | **30** | **30** | **15** | **10** |

**ToR ANNEX A: List of Documents to be reviewed by the MTR Consultant**

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
8. Audit reports
9. Finalized GEF CCM Tracking Tool at CEO endorsement and midterm
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:

1. Project operational guidelines, manuals and systems
2. UNDP country/countries programme document(s)
3. Minutes of the RE Project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)

**ToR ANNEX B: Guidelines on Contents for the Midterm Review Report**[[12]](#footnote-12)

|  |  |  |  |
| --- | --- | --- | --- |
| **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)* | | |
| **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)* | | |
|  | **5.1** | | Conclusions   * 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 |
| **5.2** | | Recommendations   * 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 UNEG Code of Conduct form * 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:* MTR tracking tool | | |

**ToR ANNEX C: Midterm Review Evaluative Matrix Template**

This Midterm Review Evaluative Matrix must be fully completed/amended by the consultant and included in the MTR inception report and as an Annex to the MTR report.

| **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?** | | | |
| How well does the project align with evolving GEF focal area priorities through GEF 4 5 and 6? | Extent to which CBD and related GEF priorities and areas of work incorporated | Project documents  National policies and strategies (MTNDS, blue economy road map, energy policy, etc.)  Project partners  Project beneficiaries | To be proposed by Consultant  (i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.) |
| Is the project aligned with other donor and Government programmes and projects? Is the project country driven? | Degree of coherence between the project and nationals priorities, policies and strategies |
| Does the project adequately take into account the national realities, both in terms of institutional and policy frameworks in its design and implementation? | Adequacy of project design and implementation to national realities and existing capacities |
| Have implementation strategies been appropriate (is the logframe logical and complete)? | Degree to which the project supports objectives of Government. |
| Did the project address the needs of target beneficiaries and other stakeholders? Is the approach inclusive? Are beneficiaries and other stakeholders effectively engaged in implementation? | Degree to which the project supports local aspirations  Degree to which the project meets stakeholder expectations |
| **Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?** | | | |
| How well has the project performed against its expected objectives and outcomes, and its indicators and targets? | Extent to which milestones and targets are achieved at mid-term, as laid out in the logframe and monitoring plan | Project reports  Minutes of Project Steering Committee Meetings  Local partners and beneficiaries  Tracking tools |  |
| Which have been the key factors leading to project achievements? | Achievement of milestones and targets as laid out in the logframe and monitoring plan |  |
| To what extent can observed results be attributed to the project or not? In this respect have there been notable changes in the enabling environment for the project? | Extent of change to the enabling environment |  |
| Has the project failed in any respect? What changes could have been made (if any) to the design or implementation of the project in order to improve the achievement of the expected results? | Evidence of adaptive management and/or early application of lessons learned |  |
| How has the project contributed to raising capacity of local stakeholders to address aims of the project or of Government? | Extent of support from local stakeholders |  |
| What are the views of stakeholders on the implementation and activities of the project? Are there activities missing from the implementation? | Extent to which stakeholders are actively participating in the  implementation and monitoring of the project |  |
| **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?** | | | |
| Implementation efficiency (including monitoring):   * Was the project implemented as planned, including the proportion of activities in work plans implemented? * Have baselines been established and monitoring data been collected as planned, analyzed - and have these been used to inform project planning? * Has project implementation been responsive to issues arising (e.g. from monitoring or from interactions with stakeholders)? * What learning processes have been put in place and who has benefitted (e.g. training, exchanges with related projects, overseas study visits) and how has this influenced project outcomes? * Were progress reports produced accurately and timely, and did they respond to reporting requirements including adaptive management changes? * Did the project experience any capacity gaps, e.g. staffing gaps within the project or implementing agency (SEC)? * Has internal and external communication been effective and efficient? Have the project team members worked effectively together, and with the implementing agency (SEC)? * How efficiently have resources and back-up been provided by donors, including quality assurance by UNDP? | Extent to which project activities were conducted on time  Extent to which project delivery matched the expectation of the ProDoc and the expectations of partners  Level of satisfaction expressed by partners in the responsiveness (adaptive management) of the project  Level of satisfaction expressed by MEECC and PCU in regard to UNDP back-stopping | Project work plans and reports  Local partners  Tracking tools |  |
| Financial efficiency:   * Are the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? * Have funds been available and transferred efficiently (from donor to project to contractors) to address the project purpose, outputs and planned activities? * Are funds being used correctly? * Are financial resources being utilized efficiently (converted into outcomes)? Could financial resources be used more efficiently? * Have any issues been raised in audit reports and if so how efficiently were they addressed? * Was project implementation as cost effective as originally proposed (planned vs. actual) * Has the leveraging of funds (co-financing) proceeded as planned? | Extent to which funds have been converted into outcomes as per the expectations of the ProDoc  Level of transparency in the use of funds  Level of satisfaction of partners and beneficiaries in the use of funds  Timely delivery of funds, mitigation of bottlenecks  Coordination and synergies of project funds and co-financing | Project financial records  Project audit reports  Project work plans and reports |  |
| Efficiency of partnership arrangements for the project   * To what extent were partnerships/linkages between institutions/organizations/private sector realized as planned? * Which partnerships/linkages were facilitated? Which ones can be considered sustainable? * What was the level of efficiency of cooperation and collaboration arrangements? Have all parallel actions and processes within e.g. SEC coalesced into a single agenda? | Extent to which project partners committed time and resources to the project  Extent of commitment of partners to take over project activities | Project work plans and reports  Reports of local partners: SEC, MoFTBE (SEEREP reports) |  |
| Is the project responsive to threats and opportunities emerging during the course of the project? | Level of adaptive management related to emerging trends | Project work plans and reports |  |
| How well were risks, assumptions and impact drivers managed? What was the quality of risk mitigation strategies developed? Were these sufficient? Are there clear strategies for risk mitigation related to long-term sustainability of the project? | Extent to which project has responded to identified and emerging risks  Level of attention paid to up-dating risks log | Risks log |  |
| Is a communications strategy in place? How well is it implemented and how successful has it been in reaching intended audiences? | Extent to which project information has been disseminated  Level of awareness of beneficiaries and the general public | Communications documents (SEES communications strategy)  Press articles, social media posts  Physical evidence: posters, t-shirts  Website |  |
| **Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?** | | | |
| Is the social, legal and political environment conducive to sustainability? | Extent of supportive policies | Policy documents (e.g. energy policy)  Steering Committee minutes  Local partners and beneficiaries |  |
| Are there early signs of activities being taken up by project partners, and plans being developed to sustain them? | Extent to which partners are considering post-project actions  Evidence of Government follow-up financing for project initiatives |  |
| Have partners and stakeholders successfully enhanced their capacities and do they have the required resources to make use of these capacities? | Extent to which partners and stakeholders are applying new ideas outside of the immediate project context |  |

**ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants[[13]](#footnote-13)**

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

**ToR ANNEX E: MTR 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. |
| 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 |

**ToR ANNEX F: 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: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](http://www.undp.org/content/undp/en/home/librarypage/capacity-building/discussion-paper--innovations-in-monitoring---evaluating-results/), 05 Nov 2013. [↑](#footnote-ref-1)
2. For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](http://www.undg.org/docs/11653/UNDP-PME-Handbook-(2009).pdf), Chapter 3, pg. 93. [↑](#footnote-ref-2)
3. Populate with data from the Logframe and scorecards [↑](#footnote-ref-3)
4. Populate with data from the Project Document [↑](#footnote-ref-4)
5. If available [↑](#footnote-ref-5)
6. Colour code this column only [↑](#footnote-ref-6)
7. Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU [↑](#footnote-ref-7)
8. Alternatively, MTR conclusions may be integrated into the body of the report. [↑](#footnote-ref-8)
9. Engagement 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> [↑](#footnote-ref-9)
10. <https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx> [↑](#footnote-ref-10)
11. <http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc> [↑](#footnote-ref-11)
12. The Report length should not exceed *40* pages in total (not including annexes). [↑](#footnote-ref-12)
13. <http://www.unevaluation.org/document/detail/100> [↑](#footnote-ref-13)