## UNDP-GEF Midterm Review Terms of Reference

**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 *full or medium*-sized project titled **Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climate Variability and Risk (PIMS 4817)** implemented through the Government of Timor-Leste, Ministry of State Administration (MSA) and Ministry of Commerce, Industry and Environment (MCIE) which is to be undertaken in 2013-2017. The project started on the 25th September 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). 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*).

1. **PROJECT BACKGROUND INFORMATION**

Small scale infrastructure in Timor-Leste is particularly vulnerable to extreme rainfall events, causing erosion, landslides and flash floods as a result of the physical context and non-climate resilient designs, poor construction, and limited investment in operation and maintenance. Communities frequently become isolated when roads and bridges are damaged by localized extreme events and in the water sector many rural communities are dependent on unprotected wells or springs, as well as other surface water features such as rivers, lakes and streams.

 The three focus municipalities selected for pilot, Baucau, Liquica and Ermera represent the diversity of key climate variability risks and vulnerabilities, which the project aims to address. They combine relatively high population densities with relatively poor areas, vulnerable flood-prone coastal conditions and landfall prone vulnerable mountainous terrain and areas with a projected increased drought period with areas of high groundwater vulnerability. The vast majority of the population in the selected districts depends on unprotected gravity-fed water sources which it uses for both domestic use and important subsistence and in some cases cash crop production (paddy rice and market vegetables).

 Climate induced threats are further affected by the slowly decreasing protective and water storage functions of ecosystems, caused by drivers such as over-exploitation of forest and coastal areas resulting in rapid deforestation. The combination of climate variability-related pressures and other drivers means that village water supply systems dry out more often, and that baseline physical infrastructure, which is not protected from irregular and intense water flows, is degrading more rapidly.

 UNDP SSRI Project focuses on supporting Ministry of State Administration (MSA ) and Ministry of Commerce, Industry and Environment (MCIE) to implement climate resilient rural infrastructure projects in a socially and environmentally acceptable manner as well as to develop institutional and human capacity at national and sub-national level (local community and Municipalities) to integrate climate resilienceinto the planning and implementation of District Development Investment Plan (PDID) projects.

 SSRI supports integrating climate change issues into Municipality and local level planning and implementation of PDID projects in a manner that makes them withstand risks and impacts of climate change. SSRI works in three Municipalities of Baucau, Ermera and Liquica.

The objective of the project is critical small scale rural infrastructure is climate resilient designed and implemented through participatory approaches and strengthened local governance systems, reflecting the needs of communities vulnerable to increasing climate risks.

The overall goal of the project is to safeguard development benefits for rural communities from future climate change induced risks. This goal is consistent with and underpinned by, a number of important policies and strategies governing Timor-Leste’s national development and its specific respond to climate change.

LDCF funds will be used by the Government of Timor Leste to address these barriers through 3 components. Outcome 1: Policy makers and the public in Timor Leste are aware of critical climate risks to rural (infrastructure) development and are systematically being informed on up to date evidence-based information on climate hazards through vulnerability assessment and cross government coordination mechanisms; with the LDCF grant requested: USD 430,000 and Co-financing: USD 12,577,384. Outcome 2: Local Administrations integrate climate risks into participatory planning, budgeting and standards of small scale rural infrastructure development. With the LDCF grant requested: USD 573,610 and Co-financing: USD 12,579,523. Outcome 3: Small scale rural infrastructure made resilient against climate change induced risks (droughts, floods, erosion and landslides) in at least the 3 Districts or Municipalities of Liquiça, Ermera and Baucau (Physical Investment Component). The Ministry of State Administration is act at the lead partner from the government of Timor Leste as well as responsible party for the investment component (Component 3). With the LDCF grant requested: USD 3,366,390 and Co-financing: USD 23,174,128. This Project is implemented by UNDP under direct implementation arrangements (DIM), which is the principle implementation modality under the 2009-2013 Country Programme Action Plan (CPAP).

UNDP is committed to promote a phased move towards National Implementation (NIM) in preparation for the next country programme cycle. Therefore a limited capacity assessment of MSA was undertaken in June 2011, which evaluated the present administrative and financial management capacity of MSA. The LGSP II is institutionally housed in the Ministry of State Administration (MSA) and is directly accountable to the Project Board under the guidance of the Minister of MSA. The LDCF project will be institutionally integrated within the LGSP II as a third component, and will thus be governed by the LGSP II Project Board and management arrangements. This way establishment of separate project steering and management arrangements can be avoided, which is deemed more efficient as well as more acceptable to MSA.

In deviation of the Prodoc based on district level consultations during inception workshop at district level it was decided to decrease the number of sub-districts from 10 to 8 to decrease the workload at the local level and to increase the investment budget per sub-district. The reduction in the number and the subsequent selection of sub-districts has been conducted ensuring the project targets of 100,000 beneficiaries and 50,000 ha of eco-system activities will be maintained and achieved, as well as capturing the diversity in CC impacts and -vulnerabilities. The sub-district selection was finalized during the district inception workshops. Based on the selection of 8 sub-districts (instead of 10 as described above) each sub-district will be allocated a total of about USD 373,919 which consists of US$ 258,754 for project investments and US$ 115,165 in technical project support to project planning, resilient design and implementation. This amounts to about US$ 115,043 per year. Furthermore the project team will provide innovation projects to selected sub-districts with a total value of about US$ 350,000. The 20% allocation of the project investment budget to ecosystem services was also endorsed by stakeholders as an important instrument to highlight the importance of such services and to create an understanding of their value to overall watershed catchment ecosystem improvement, protection and management.

**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 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 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 is expected to follow a collaborative and participatory approach[[1]](#footnote-1) ensuring close engagement with the Project Team, 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 the key directorates and administration units of the two implementing partners - The Ministry of State Administration and Ministry of Commerce, Industry and Environment namely Directorate General for Urban Organization, National Directorate for Toponymy[[3]](#footnote-3) (DNTOP) , National Directorate for Climate Change (NDCC), Municipality Administrators of Ermera, Liquica and Baucau, Administrative Post Administrators of Quelicai, Baucau Villa, Vemasse, Maubara, Ermera Villa and Hatulia, the local contractors / construction companies who are implementing the rehabilitation and construction work for the 10 SSRI projects, representatives of evaluation and supervision (EVAS) team members in in their respective municipality, Chefe Suco of the sucos (villages) where the SSRI projects are located, Center for Climate change and Biodiversity (CCCB), Project Staff and the UNDP Country Office. The list covers executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to Municipality of Baucau, Liquica and Ermera including the following project sites below:

1. Suco Talimoro, Ermera Municipality (water project)
2. Suco Gnutur, Hatulia, Ermera Municipality (water project)
3. Suco leime Kraik , Hatulia, Ermera Municipality (water project)
4. Suco Leguimea , Ermera Municipality (small bridges )
5. Suco Maubara Lissa, Liquica Municipality ( Road rehabilitation- two projects)
6. Suco Lisadilla, Liquica Municipality ( Protection of river bank)
7. Suco Ossoala, Vemasse, Baucau Municipality (water project)
8. Suco Laculiu , Quelicai, Baucau Municipality ( irrigation project)
9. Suco Bahu, Baucau Municipality ( water project)
10. Suco Gariwai,Baucau Municipality (water project)

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 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.

**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[[4]](#footnote-4)** | **Baseline Level[[5]](#footnote-5)** | **Level in 1st PIR (self- reported)** | **Midterm Target[[6]](#footnote-6)** | **End-of-project Target** | **Midterm Level & Assessment[[7]](#footnote-7)** | **Achievement Rating[[8]](#footnote-8)** | **Justification for Rating**  |
| **Objective:**  | Number of (sector-specific) standard designs and specifications, for small infrastructure works, which have been upgraded to address and/or withstand increased climate risks Percentage change in number of sub-district level annual development plans, which include climate risk mitigation/resilience measures, as climate resilient activity designs (of small infrastructure works) and complementary bio-engineering and land management measures (AMAT 1.1.1.1) | Designs for small scale infrastructure works insufficiently address present and projected increased climate variability, especially in terms of future water resource availability and intensity of extreme weather events, leading to capital loss due to inappropriate designs and unnecessary asset loss due to extreme weather events and inadequate maintenance Within the existing participatory local planning process, localized climate risks and vulnerabilities are not analyzed, and climate risks for small infrastructure works are not understood, nor planned and budgeted for. | Completed climate-resilient designs for small-scale infrastructure and Bills of Quantities (BoQs) including climate proofing and bio-engineering components for 11 climate resilient projects as part of the government District Investment Development Plan (PDID) projects to be implemented in 2015. This represents 18.3% of the 60 total districts PDID projects, as a portion of the overall district development plan priorities to be implemented by government in 2015. |  | By the end of the project climate resilient designs are developed for all small scale infrastructure works constructed through the project and 75% of these climate resilient designs are accepted by national level sector agencies as the nation-wide standard design By the end of the project a minimum of 50% of sub-district annual development plans in the project areas include at least 3 specific climate risk mitigation/resilience actions |  |  |  |
| **Outcome 1:** | Indicator 1: |  |  |  |  |  |  |  |
| **Indicator**: number and type of stakeholders served by the multi-sector knowledge sharing and policy influencing platform of MCIE Number of evidence climate change risk/vulnerability assessment reports and policy recommendation documents , timely disseminated through the knowledge sharing and policy influence platform Number of sectors which have endorsed MCIEs national climate change policy framework and strategy, and which have subsequently translated and/or integrated climate risks in key sector policies | Policy makers have little awareness and understanding of climate risks on sector development goals, sector policies do not or insufficiently address climate risks and vulnerabilities Due to sector fragmentation little exchange of knowledge, lessons and experiences takes place, existing platforms are shaped around national programmes (like NAPA working group) but do not function adequately outside the framework of these programmes due to limited capacity of MCIE/NDIEACC for multi-stakeholder process facilitation and sector leadership | Members of four line Ministries namely Ministry of Social Solidarity (MSS), Ministry of Public Works (MPW), Ministry of State Administration (MSA), Ministry of Agriculture and Forestry (MoAF) participated in the Climate change Forum meetings organized by Ministry of Commerce, Industry and Environment (MCIE) co-ordinated National Climate Change Adaptation Forum. Secondary data about climate risks and natural disaster affecting rural infrastructure collected and collated to facilitate the Ministry of Commerce, Industry and Environment (MCIE) undertake its policy advocacy work. One sector, Ministry of State Administration (MSA) incorporated climate resilience and EIA and social safeguards into the planning, implementation of its rural |  | At least 5 platform members from relevant National Directorates and 2 members each from (or one representative organization): Local Administration, Civil Society, private sector, International NGOs, education institutions At least five evidence-based policy influencing documents disseminated through the platform At least 4 sectors have formally endorsed the MCIE climate change policy framework and strategy and have translated or integrated climate risk concerns into at least 1 sector policy.  |  |
| **Outcome 2:** | **Indicator:** Climate change vulnerability guidelines and tools developed under the project are accepted by MSA as integral part of local planning and budgeting process (Yes/No) Percentage of Sub-districts which use climate change vulnerability assessments and CC adaptation activity identification guidelines/tools as integral part of the local development and planning and budgeting process [AMAT 1.1.1.3] Number of (district) engineering and contractor staff in focus Districts with a solid understanding of climate-induced risks to small scale infrastructure works and of possible adaptation and mitigation measures (design, construction, maintenance) | Within the existing participatory local planning and budgeting process, at present localized climate risks and vulnerabilities are not analyzed, and climate risks for small infrastructure works are not understood, nor are resilience and protective measures planned and budgeted for. Local Administrations have little understanding of their role in terms of ensuring climate resilient development and climate risk resilient small scale infrastructure Engineering staff and contractors at District level have very little understanding of requirements for climate resilient infrastructure development | Guidelines for mainstreaming climate change into MSA PDIDs and project implementation have been produced and included into the revised Ministry of State Administration (MSA) PDID Planning Manual, Procurement Manual, and Decree Law no. 4/2012. Six (06) sub-districts (now renamed Administrative Posts-APs) out of a total of 14 APs (representing 42.9%) are implementing climate resilient projects in 2015. Three District Investment Plans (PID) for Baucau, Ermera and Liquica included climate resilient projects for implementation in 2015. 90 District technical staff and 106 pre-qualified private contractors were trained on aspects of climate-resilient infrastructure planning and implementation.Implementation of 11 climate resilient pilot projects commenced in six (06) sub-districts (now APs) the three districts (now named Municipalities). The 11 projects are will benefit approximately 68,000 people in rural communities representing a 68% progress against the entire project life target. The draft Climate Vulnerability and Capacity Assessment (CVCA) has identified approx.14,000 hectares of degraded hotspot areas affected by landslides and approx.125,287 ha of land affected by erosion that require rehabilitation |  | By the end of the project the climate change vulnerability guidelines and tools have become an integral part of the national local planning and budgeting process as endorsed by MSA At least 75% of Sub-districts in 3 Districts use the new climate change vulnerability assessments and have identified and implemented climate resilient designs and climate risk protection measures for small scale infrastructure works By the end of the project at least 200 (district) engineering and contractor staff have a solid understanding of climate-induced risks to small scale infrastructure works and of possible adaptation and mitigation measures (design, construction, maintenance) |  |  |  |
|  |  |  |  |  |  |
|
| **utcome 3**  | Number of Local Administrations (Districts and Sucos) which invest in climate resilient small rural infrastructure works, including complementary soil and land management measures as integral part of the local infrastructure development process Number of people benefiting from climate resilient small scale infrastructure works which are constructed in accordance with climate resilient designs in the three project focus Districts (target 100,000) [AMAT 1.2.1.2] Coverage in Hectares of complementary soil and land management measures in 3 Districts (target 50,000) | Designs for small scale infrastructure works, implemented at the Local Administration level, are often prepared by national level sector departments or agencies. These designs are at present not climate resilient, nor adapted to local conditions. Local Administrations also lack the capacity to make climate resilient designs and to construct in accordance with required higher quality standards. | Implementation of 11 climate resilient pilot projects commenced in six (06) sub-districts (now APs) the three districts (now named Municipalities). The 11 projects are will benefit approximately 68,000 people in rural communities representing a 68% progress against the entire project life target. The draft Climate Vulnerability and Capacity Assessment (CVCA) has identified approx.14,000 hectares of degraded hotspot areas affected by landslides and approx.125,287 ha of land affected by erosion that require rehabilitation |  | In at least ten sub-districts in 3 Districts, various new small scale infrastructure works are constructed in accordance with the new climate resilient designs and additional measures are implemented to safeguard existing infrastructure works against climate risks, benefitting at least 100,000 people. At least 100,000 people benefited from climate resilient small scale infrastructure works in the 3 focus Districts A minimum of (total) 50,000 hectares of catchment stabilization measures have been implemented. \*\*\*Note: The 50,000 hectare target was deemed overly ambitious and reduced to 5,000 hectares during the inception workshop (refer to inception workshop report. |  |  |  |

**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 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.

**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 team will include a section of the report setting out the MTR’s evidence-based conclusions, in light of the findings.[[9]](#footnote-9)

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.

Table. MTR Ratings & Achievement Summary Table for ( *Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk* )

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

1. **TIMEFRAME**

The total duration of the MTR will be approximately *(# 8 weeks )* starting *(11th November 2015,* and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

|  |  |
| --- | --- |
| **TIMEFRAME** | **ACTIVITY** |
| 6th November 2015 | Application closes |
| 9th November 2015 | Select MTR Team |
| 12th November 2015 | Prep the MTR Team (handover of Project Documents) |
| (13-16 November 2015 in 2 days (recommended: 2-4) | Document review and preparing MTR Inception Report |
| ( 19-20 November 2015) 2 days  | Finalization andValidation of MTR Inception Report- latest start of MTR mission |
| (23-27th November) 5 days ) | MTR mission: stakeholder meetings, interviews, field visits |
| (30 November 2015)  | Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission |
| (*1-7th December 2015*) 5 days (r: 5-10) | Preparing draft report |
| ( 8-10th December ) 3 days (r: 1-2) | Incorporating audit trail from feedback on draft report/Finalization of MTR report  |
| (11 December 2015)  | Preparation & Issue of Management Response |
| (14 December 2015)  | (optional)Concluding Stakeholder Workshop (not mandatory for MTR team) |
| (15 December 2015) | Expected date of full MTR completion |

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

1. **MIDTERM REVIEW DELIVERABLES**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Deliverable** | **Description** | **Timing** | **Responsibilities** |
| **1** | **MTR Inception Report** | MTR team clarifies objectives and methods of Midterm Review | No later than 2 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 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 | 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 UNDP Timor Leste.

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within Timor Leste 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.

1. **TEAM COMPOSITION**

A team of two independent consultants 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 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: *(give a weight to all these qualifications so applicants know what is the max amount of points they can earn for the technical evaluation)*

* 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 climate change adaptation
* Experience working with the GEF or GEF-evaluations;
* Experience working in Timor Leste or at the least in the least developed countries in South East Asia
* Work experience in relevant technical areas for at least 10 years;
* Demonstrated understanding of issues related to gender and climate change adaptation and resilience; 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 environmental studies, developmental studies, climate change, 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 team.

1. **APPLICATION PROCESS[[10]](#footnote-10)**

**Recommended Presentation of Proposal:**

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)[[11]](#footnote-11) 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)[[12]](#footnote-12));
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. 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 to the address UNDP Procurement Unit, Obrigado Barrack, Caicoli Dili in a sealed envelope indicating the following reference “Consultant for Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk (SSRI) Project Midterm Review” or by email at the following address ONLY: matias.gomes@undp.org by 08:00 – 17:00 and deadline 30 October 2015. 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.

**ToR ANNEX A: 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 (*fill in specific TTs for this project’s focal area*)
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 Strengthening the resilience of small scale rural infrastructure (SSRI) and local Governance Systems to Climate Change Variability and Risk Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
4. Project site location maps

**ToR ANNEX B: Guidelines on Contents for the Midterm Review Report**[[13]](#footnote-13)

|  |  |
| --- | --- |
| **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:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.)*
 |

**ToR ANNEX C: 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?** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants[[14]](#footnote-14)**

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

## UNDP-GEF Midterm Review

## Terms of Reference

**Standard Template 2: Formatted information to be entered in** [**UNDP Jobs website**[[15]](#footnote-15)](https://jobs.undp.org/)

**BASIC CONTRACT INFORMATION**

**Location: Dili, Timor Leste**

**Application Deadline: 6th November 2015**

**Category:** Energy and Environment

**Type of Contract:** Individual Contract

**Assignment Type:** International Consultant

**Languages Required:**

**Starting Date:** (date when the selected candidate is expected to start)

**Duration of Initial Contract:**

**Expected Duration of Assignment:**

**BACKGROUND**

**A. Project Title**

Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climate Variability and Risk

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

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full -sized project titled Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climate Variability and Risk (PIMS#) implemented through the Ministry of State Administration and Ministry of Commerce, Industry and Environment, which is to be undertaken in 2015-2016. The project started on the September 25, 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 project was designed to:

* Briefly describe the project rationale / background and the objectives of the project
* If applicable, explain thoroughly the peculiarity of the setting of the project or the work required, if any (e.g., security risks involved in conducting the work in certain communities, certain cultures and practices unique to the stakeholders, etc.)

**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 :1. **Irrigation Project in Quelicai, Baucau Municpality**
2. **Riverbank protection of new construction of 435m at Kakae River , Maubara, Liquica Municipality**
3. **Water installation in Talimoro, Ermera Municipality**
4. **Rehabilitationsmall bridges project in Leguimea , Ermera Municipality**

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* [SSRI Project Document](file:///C%3A%5CUsers%5CSSRI%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CDocuments%5CProject%20Documents%5CProdoc%20signatories%20page.pdf) [..\..\..\Documents\Project Documents\Prodoc\_UNDP GEF.pdf](file:///C%3A%5CUsers%5CSSRI%5CAppData%5CLocal%5CMicrosoft%5CWindows%5CDocuments%5CProject%20Documents%5CProdoc_UNDP%20GEF.pdf)) 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 relevanced 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.
1. **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.
1. **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
1. **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: (date)
* Presentation: Initial Findings presented to project management and the Commissioning Unit at the end of the MTR mission. Approximate due date: (date)
* Draft Final Report: Full report with annexes within 3 weeks of the MTR mission. Approximate due date: (date)
* 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: (date)

\*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**

**F. Duration of the Work**

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project’s MTR is UNDP Timor Leste

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within Timor Leste 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.

|  |
| --- |
| Identify the consultant’s duty station/location for the contract duration, mentioning ALL possible locations of field works/duty travel in pursuit of other relevant activities, specially where traveling to locations at security Phase I or above will be required.**Travel:*** International travel will be required to Timor Leste and the select project sites in the municipalities outside of the capital, Dili ) 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 will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

The total duration of the MTR will be approximately *(# of weeks)* starting *(date),* and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows: * *(date):* Application closes
* *(date):* Selection of MTR Team
* *(date):* Prep the MTR Team (handover of project documents)
* *(dates) XX days (recommended 2-4):* Document review and preparing MTR Inception Report
* *(dates) XX days:* Finalization andValidation of MTR Inception Report- latest start of MTR mission
* *(dates) XX days (r: 7-15):* MTR mission: stakeholder meetings, interviews, field visits
* *(dates):* Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
* *(dates) XX days (r: 5-10):* Preparing draft report
* *(dates) XX days (r: 1-2):* Incorporating audit trail on draft report/Finalization of MTR report
* *(dates):* Preparation & Issue of Management Response
* *(date):* (optional)Concluding Stakeholder Workshop (not mandatory for MTR team)
* *(date):* Expected date of full MTR completion

The date start of contract is (date). |

**G. Duty Station**

**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: *(give a weight to all these qualifications so applicants know what is the max amount of points they can earn for the technical evaluation)*

* 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 climate change adaptation ;
* Experience working with the GEF or GEF-evaluations;
* Experience working in South East Asia
* Work experience in relevant technical areas for at least 10 years;
* Demonstrated understanding of issues related to gender and (*Climate change Adaptation* ); 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 (*fill in*), or other closely related field.

***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, living allowances etc.);
* For duty travels, the UN’s Daily Subsistence Allowance (DSA) rates are (fill for all travel destinations), which should provide indication of the cost of living in a duty station/destination *(Note: Individuals on this contract are not UN staff and are therefore not entitled to DSAs. All living allowances required to perform the demands of the ToR must be incorporated in the financial proposal, whether the fees are expressed as daily fees or lump sum amount.)*
* The lump sum is fixed regardless of changes in the cost components.

***Schedule of Payments:***

10% of payment upon approval of the 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 team.

**J. Recommended Presentation of Offer**

1. Completed **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) provided by UNDP;
2. **Personal CV or a** [**P11 Personal History form**](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc), 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;
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, 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:

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

**L. Annexes to the MTR ToR**

Include *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* and other existing literature or documents that will help candidates gain a better understanding of the project situation and the work required.

Possible annexes include: (reference ToR Annexes in Annex 3 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*)

* Project Document
* Climate Vulnerability and Capacity Assessment Report
* Quarterly and Annual Progress Reports
* PIR
* Result-oriented annual report (ROAR) for the UNDP CO
* Secondary Data Report
* News Clips or any other media coverage documents
* Guidelines on Contents for the Midterm Review Report
* 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)
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-%282009%29.pdf), Chapter 3, pg. 93. [↑](#footnote-ref-2)
3. https://en.wikipedia.org/wiki/Toponymy [↑](#footnote-ref-3)
4. Populate with data from the Logframe and scorecards [↑](#footnote-ref-4)
5. Populate with data from the Project Document [↑](#footnote-ref-5)
6. If available [↑](#footnote-ref-6)
7. Colour code this column only [↑](#footnote-ref-7)
8. Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU [↑](#footnote-ref-8)
9. Alternatively, MTR conclusions may be integrated into the body of the report. [↑](#footnote-ref-9)
10. 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-10)
11. <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-11)
12. <http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc> [↑](#footnote-ref-12)
13. The Report length should not exceed *40* pages in total (not including annexes). [↑](#footnote-ref-13)
14. [www.undp.org/unegcodeofconduct](http://www.undp.org/unegcodeofconduct) [↑](#footnote-ref-14)
15. https://jobs.undp.org/ [↑](#footnote-ref-15)