## UNDP-GEF Midterm Review (National Consultant) Terms of Reference

1. **INTRODUCTION**

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *full-sized* project titled *Market Transformation and Removal of Barriers for Effective Implementation of the State-Level Climate Change Action Plans* (PIMS# 4606) implemented through the *Ministry of Environment Forest and Climate Change*, which is to be undertaken in *2018*. The project started on the *20.01.2016* 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*

(<http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf>).

**2. PROJECT BACKGROUND INFORMATION**

The project was designed to showcase the implementation of State Action Plan on Climate Change (SAPCC) in two selected Indian states - Jharkhand and Manipur, with a potential scope to extend its activities to other states if there is a strong interest. The state governments are responsible for developing state-specific action programmes for the power, transport, industry, buildings, and municipal energy efficiency and forestry sectors in line with the National Action Plan on Climate Change NAPCC. There is a need to have greater synergy between national priorities and state-specific strategies, as it requires actions in several sectors that are State subjects and must be implemented in the States. In the preparation of SAPCCs, the required inventory for these sectors is sourced from the national inventory management system (NIMS) that was established as part of the National Communication process; inventory estimation and management are not part of the SAPCC preparation process.

With the objective of addressing the barriers to implementation of SAPCC, the project will revisit the existing regulatory and policy frameworks at the national and state levels, including the directives under the national Missions, to overcome any regulatory and policy relates hurdles for implementation of SAPCC. In consultation with MOEFCC, UNDP and State Governments Jharkhand and Manipur have been selected to demonstrate that how the mitigations measures can be implemented effectively in partnership with private sector, financing institutions, research institutions, international agencies, SERCs, ESCOs and local EE and RE experts. For both Jharkhand and Manipur state governments a number of barriers like (a) limited awareness and capacities across institutions at various levels, (b) absence of framework for the implementation of SAPCCs at state level, and (c) lack of conducive environment for investments in the implementation of RE and EE projects is evident.

The project is supporting the implementation of SAPCC strategies in Jharkhand and Manipur. These two states are among the most vulnerable states in India. They have been selected as pilot states in the project so as to (a) build on their approved SAPCCs, which are now ready for implementation, (b) achieve geographical balance in project coverage, and (c) cover diverse climatic conditions, so as to link diverse aspects and cross-learning between neighboring states. The two states also represent different techno-economic profiles in terms of technology cost, availability and energy mix. The collective indicative budget of the SAPCCs of the two state governments of Jharkhand and Manipur amounts to US$ 1,183 million (INR 7,093.35 Crores).

**Objective of the project**

The India SAPCC project goal is the reduction of GHG emissions achieved through implementation of RE and EE solutions at the state level as identified in the SAPCCs. This will be achieved by removal of the key barriers that prevent effective implementation of SAPCC, with focus on RE and EE actions.

The project focus is on removal of barriers for effective implementation of RE and EE actions at the state level. The project is based on the premise that existence of several technical, financial, policy, institutional and awareness and capacity building barriers have constrained the large-scale implementation of RE and EE projects in the states. While project benefits are likely to be in the tangible form of reduction in GHG emissions and total energy saved from EE measures more significant albeit gradual and less tangible co-benefits will flow in terms of improved state capacities in implementing RE and EE measures and incorporation of climate change mitigation actions in state development plans and schemes.

The development objective of the project is to stimulate implementation of climate change mitigation actions stated in the State Action Plan on Climate Change (SAPCCs); maximize the benefits through exploring inter-state cooperation; showcase the actual implementation of SAPCCs; demonstrate institutional mechanisms for inter-state networking and cross learning, including information sharing and technology dissemination; and develop and implement a common monitoring system to assess progress on the SAPCCs in the selected states.

The project aims to:

* Identify priority strategies specifically relating to the energy sector with a focus on renewable energy; and energy efficiency;
* Design and implement common monitoring, reporting and verification (MRV) system for climate change mitigation actions;
* Demonstrate implementation of specific climate change mitigation actions;
* Establish public-private partnerships and mobilization of public and private sector investments; and
* Scale-up and replication of the mitigation actions.

1. **Implementation Strategy**

**Component 1** of the project deals with the development of framework for effective implementation of climate change mitigation actions. The project aims at developing Marginal Abatement Cost Curves (MACC), Monitoring Reporting and Verification (MRV) framework and Detail Project Reports.

**Component 2** focuses on catalyzing investments for the implementation of the mitigation actions in the energy sector. Under this component, the project also aims at strengthening capacity of stakeholders for catalyzing investments from both public and private sector.

**Component 3** deals with the capacity development of State Government officials helping them integrate climate change concerns within sectoral development plans and budgets, undertaking MRVs efficiently for SAPCC actions and promoting inter-state learning and coordination for SAPCCs.

1. **Key Outcomes of The Project**

* Successful and sustainable implementation of priority Climate Change Mitigation Actions on energy generation and demand side management and application of RE and EE technologies in major energy end use sectors in the chosen states;
* Enhanced capability of states and capacity for identifying, designing, planning and implementing RE and EE mitigation actions from SAPCCs; and
* Enhanced technical capability of State Government in integrating climate change concerns within sectoral development plans and budgets and undertaking MRVs efficiently for SAPCC actions.

1. **Benefits of The Project**

* Accelerate implementation of SAPCC strategies in Jharkhand and Manipur;
* Enhance energy security in the state through upscaling renewable energy and energy efficiency initiatives in the chosen states;
* Prepare ground for design and implementation of large scale energy efficiency and renewable energy projects at the state level with by demonstrating their effectiveness in municipalities and other sectors;
* Engage different state level stakeholders (public/private) in project implementation and align states climate change mitigation ambitions with other developmental efforts; and
* Building institutional capacities across state government departments for designing and implementing climate change mitigation actions

**Budget and Planned Co- financing**

|  |  |
| --- | --- |
| **Expenditure head (GEF component)** | **Amount (US $)** |
| Component 1: Framework for the implementation of climate change mitigation options in the selected states SAPCCs | 1,213,500 |
| Component 2: Catalysing investments for implementation of selected RE and EE mitigation action | 1,234,753 |
| Component 3: Capacity development of concerned state level officials for implementation of respective SAPCCs | 1,118,000 |
| Project Management Cost | 178,247 |
| **Total** | **3,744,500** |

**Summary of total fund**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Donor** | **Year 1 (USD)** | **Year 2 (USD)** | **Year 3 (USD)** | **Year 4 (USD)** | **Total (USD)** |
| GEF | 1,022,850 | 985,603 | 887,950 | 848,097 | **3,744,500** |
| MOEFCC | 3,147,186 | 3,147,186 | 3,147,186 | 3,147,187 | **12,588,745** |
| UNDP | 125,000 | 125,000 | 125,000 | 125,000 | **500,000** |
| Jharkhand | 1,310,575 | 1,310,575 | 1,310,575 | 1,310,575 | **5,242,300** |
| Manipur | 1,667,238 | 1,667,239 | 1,667,238 | 1,667,240 | **6,668,955** |
| **Total** | **7,272,849** | **7,235,603** | **7,137,949** | **7,098,099** | **28,744,500** |

**Institutional Arrangement and relevant partners**

This UNDP-GEF project is to be implemented by the Ministry of Environment Forests and Climate Change (MoEFCC), Government of India as the Implementing Partner of UNDP under National Implementation Modality (NIM), agreed by UNDP and the Government of India. As the implementing agency (on behalf of the GEF), the UNDP will provide overall management through its New Delhi Country Office (CO) and technical guidance from its Bangkok Regional Hub (BRH) in Bangkok. MoEFCC, as the Implementing Partner, will assume full responsibility and accountability in partnership with the state government of Manipur and Jharkhand for the effective use of UNDP and other resources and the achievement of the project outcomes and outputs at all levels as set forth in the document. The MoEFCC will be responsible for the overall implementation of the project at national and state levels. The MoEFCC will designate a National Project Director (NPD), who will be responsible for overall management, including achievement of planned results, and for the use of UNDP funds through effective process management and well established programme review and oversight mechanisms. MoEFCC will facilitate partnership development with state governments (Manipur and Jharkhand) and coordination with other relevant central ministries as required.

**Project Management Structure**

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**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; 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 Ranchi, Jharkhand and Imphal, Manipur*.*

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[[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 (if applicable): |  |  |  |  |  |  |  |
| **Outcome 1:** | Indicator 1: |  |  |  |  |  |  |  |
| Indicator 2: |  |  |  |  |  |
| **Outcome 2:** | Indicator 3: |  |  |  |  |  |  |  |
| Indicator 4: |  |  |  |  |  |
| Etc. |  |  |  |  |  |
| **Etc.** |  |  |  |  |  |  |  |  |

**Indicator Assessment Key**

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

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.[[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 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 *Market Transformation and Removal of Barriers for Effective Implementation of the State-Level Climate Change Action Plans*

|  |  |  |
| --- | --- | --- |
| **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 22 days over a time period of 16.07.2018 – 27.08.2018 starting July 2018 *and* shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

|  |  |
| --- | --- |
| **TIMEFRAME** | **ACTIVITY** |
| 20.06.2018 | Application closes |
| *(30.06.2018)* | Select MTR Team |
| *(10.07.2018)* | Prep the MTR Team (handover of Project Documents) |
| *(16.07.2018 – 18.07.2018) 3 days* | Document review and preparing MTR Inception Report |
| *(19.07.2018 – 20.07.2018) 2 days* | Finalization andValidation of MTR Inception Report- latest start of MTR mission |
| *(23.07.2018 to 1.08.2018) 8 days* | MTR mission: stakeholder meetings, interviews, field visits |
| *(3.08.2018)* | Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission |
| *(6.08.2018 - 9.08.2018) 4 days* | Preparing draft report |
| *(10.08.2018 – 15.08.2018) 4 days* | Incorporating audit trail from feedback on draft report/Finalization of MTR report |
| *(20.08.2018)* | Preparation & Issue of Management Response |
| *(27.08.2018)* | 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 | 23.07.2018  MTR mission:  (23.07.2018) | MTR team submits to the Commissioning Unit and project management |
| **2** | **Presentation** | Initial Findings | End of MTR mission: (1.08.2018) | 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 | By (9.08.2018) | 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 | By (20.08.2018) | 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 India. The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within India 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: Recent experience with result-based management evaluation methodologies (10%);
* Experience applying SMART indicators and reconstructing or validating baseline scenarios (10%);
* Competence in adaptive management, as applied to energy, Climate Change and Resilience, Energy (10%);
* Experience working with the GEF or GEF-evaluations (10%);
* Work experience in relevant technical areas for at least 5 years (15%);
* Demonstrated understanding of issues related to gender and climate change; experience in gender sensitive evaluation and analysis (5%).
* Excellent communication skills (10%);
* Demonstrable analytical skills (10%);
* Project evaluation/review experiences within United Nations system will be considered an asset (5%);
* A Master’s degree in Energy/ Environment/ Business Management, or other closely related field (15%).

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

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

**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)[[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. 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 by email at the following address ONLY: (fill email) This email address is being protected from spam bots, you need Javascript enabled to view it by ***(time and date).*** 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 (for Climate Change Mitigation)
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 (*Market Transformation and Removal of Barriers for Effective Implementation of the State-Level Climate Change Action Plans*) 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**[[12]](#footnote-12)

|  |  |  |  |
| --- | --- | --- | --- |
| **i.** | Basic Report Information *(for opening page or title page)*   * Title of UNDP supported GEF financed project * UNDP PIMS# 4606 and GEF project ID# 93346 * 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 (*for Climate Change Mitigation)* | | |

**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.) |
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| **Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?** | | | |
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| **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?** | | | |
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| **Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?** | | | |
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**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**

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| **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. |

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| **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. |

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

**ToR ANNEX G: Audit Trail Template**

*Note:* The following is a template for the MTR Team to show how the received comments on the draft MTR report have (or have not) been incorporated into the final MTR report. This audit trail should be included as an annex in the final MTR report.

**To the comments received on (*date*) from the Midterm Review of (*project name*) (UNDP Project ID-*PIMS #)***

*The following comments were provided in track changes to the draft Midterm Review report; they are referenced by institution (“Author” column) and track change comment number (“#” column):*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Author** | **#** | **Para No./ comment location** | **Comment/Feedback on the draft MTR report** | **MTR team**  **response and actions taken** |
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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. [www.undp.org/unegcodeofconduct](http://www.undp.org/unegcodeofconduct) [↑](#footnote-ref-13)