UNDP-GEF: TERMS OF REFERENCE FOR MIDTERM REVIEW

ENHANCING THE FOREST NATURE RESERVES NETWORK FOR BIODIVERSITY CONSERVATION IN TANZANIA

1. INTRODUCTION

In accordance with the UNDP-GEF M&E policies and procedures, a Midterm Review (MTR) of the full-sized project "**Enhancing the Forest Nature Reserves Network for Biodiversity Conservation in Tanzania**" (PIMS **5106**)"is due for Mid Term Review (MTR) having reached mid-way since the start of its implementation. This is a five years project which is implemented by the Tanzania Forest Services Agency (TFS) as the main Executing/Implementing Partner. Other Responsible Partners include: MNRT and the Eastern Arc Mountains Conservation Endowment Fund (EAMCEF). Although the project document signature was 21st June 2015, full project implementation started in late 2015, meaning that the project is now in its third year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated after the submission of the second Project Implementation Report (PIR) (August 2017). This Terms of Reference (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://www.mn.undp.org/content/dam/mongolia/Procurement/proc-notices/ProcumentAnnouncement2014/EbA/20140827/Guidance%20for%20Conducting%20Midterm%20Reviews%20of%20UNDP-Supported%20GEF-Financed%20Projects_Final_June%202014.pdf).

2. PROJECT BACKGROUND INFORMATION AND OBJECTIVES

The Global Environment Facility (GEF) in collaboration with UNDP has committed US$ **5.1** million to support strengthening the Nature Reserves network across Tanzania by implementing measures to gazette and then improve the effectiveness of Nature Reserves in addressing threats to biodiversity conservation and hence provide for the long-term ecological, social and financial sustainability of that system. The focus is on 6 of 12 gazetted Nature Reserves, reflecting the fact that with some exceptions, the management effectiveness of Nature Reserves is sub-optimal, relative to the Government's desired levels and tourism numbers to these reserves remain low and need to be increased.

Project Goal, Objective, Outcome, Components and Outputs

The project objective is to: *expand, financially secure and strengthen the management effectiveness of Tanzania's forest nature reserve network in response to the threats to their biodiversity*

Project Components
To achieve the project objective, and address the barriers (referring to Section 1, Part I of the Project document), the project's intervention has been organised into two **components** (this is in line with the components presented at the PIF stage):

Component 1: *Consolidating and improving the management of the FNR network*

Work under this component is focused on improving the legal status, planning, operations and governance of five new FNRs (Chome, Magamba, Mkingu, Minziro and Uzungwa Scarp) and one existing FNR (Rungwe)so that they are better able to proactively respond to threats to, and pressures on, their unique biodiversity. It will also encourage a more consistent and cohesive approach to the planning and management of the new FNRs as an integral part of the broader network of FNRs.

Component 2: *Strengthening the financial sustainability of the FNR network*
Work under this component is focused on enhancing the financial sustainability of the entire network of 11 FNRs to ensure that they incrementally develop the capacity (over the longer-term) to generate adequate financial resources to cover the full costs of their management. The outputs and activities under each of the two components are as described in more detail below.

Outputs

The project has a total of seven outputs under the two components accordingly, as presented below.

Output 1.1: *The conservation status and boundaries of six FNRs are secured*

All the preliminary groundwork to gazette the five targeted new nature reserves (Chome, Magamba, Mkingu, Minziro and Uzungwa Scarp) has been completed, including extensive consultations with the local (village, ward, district and regional) authorities and adjacent villages. The documentation papers for these FNRs are all now in the process of being prepared and/or being processed by the ministerial Legal Officers. The project will thus provide logistical support to the ministerial Legal Officers in the: (a) drafting of all Declaration Orders (DO); (b) submission of each draft Declaration Order to the Attorney General's Chambers for vetting; (c) securing of the Ministers signature of each vetted Declaration Order; and (d) publishing of the Government Notice (GN) declaration for each FNR in the Government Gazette.

As each of these five proposed FNRs (Chome, Magamba, Mkingu, Minziro, and Uzungwa Scarp) is officially gazetted[1], the following activities will then be undertaken in each FNR:

(i) Update the existing Reserve Management Plan (RMPs) of Chome, Magamba, Mkingu and Rungwe.
(ii) Prepare a new RMP - Uzungwa Scarp and Minziro.
(iii) Within the broad planning framework of the RMP, support the iterative development of key subsidiary plans[2] (e.g. IAS control programme, Integrated Fire Management Plan, Enforcement and Compliance programme).
(iv) Relocate all surveyed reserve boundary markers (typically concrete beacons or stone cairns) and, as required, replace or repair any missing markers.
(v) Regularly maintain a boundary firebreak, footpath or brush cut strips (where the boundary is not already defined by some other permanent feature, such as a road) in order to clearly demarcate the reserve borders.

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[1] Activities will start immediately in this FNR, as it is already gazetted.

[2] Subsidiary plans for the reserve will provide a bridge between the broad strategic direction provided for in the RMP and the detailed, specific actions taken in the Annual Plan of Operation (APO). Subsidiary plans may deal with complex, technical, and sometimes controversial issues that often require a level of detail and thorough analysis beyond that appropriate for the Strategic Plan (Note: the subsidiary 'Tourism Plan' for each FNR will be developed under Output 2.1 below).

(vi)   Install boom gates at selected control entry points, as required.

(vii) Design, produce and install signage at all reserve entry points and along the reserve boundaries.

Output 1.2: *The core staffing complement, infrastructure and equipment of six FNRs is in place*

Work under this output is focused on addressing the critical infrastructural and equipment needs in the six targeted FNRs (Chome, Magamba, Mkingu, Minziro, Uzungwa Scarp and Rungwe). GEF funds will be used to support the: (a) basic equipping of reserve management staff; (b) renovation and construction of key reserve infrastructure; (c)installation of basic services for all staff accommodation and administration facilities; and (d) procurement and installation of critical reserve vehicles. The specific activities to be undertaken in this output will include the following:

(i)   For each forest ranger that is appointed, paid and deployed by the TFS in the targeted FNRs, procure the requisite uniform (e.g. boots, overalls, hats, insignia) and other basic safety equipment (e.g. communications, torch, backpack, binoculars, water bottles, first aid supplies).

(ii)   Procure an off-road hard top or pickup truck[3], and 125-250cc off-road motorcycles, for each of the targeted FNRs.

(iii) As required, renovate and refurbish existing ranger outposts and administrative offices (including the upgrading/addition of buildings, supply of potable water, generation of power, provision of sewage and waste treatment systems and basic furnishing and equipping of outposts) in the targeted FNRs.

(iv)   As required, construct new ranger outposts and administrative offices (including offices, storage area, garage, workshop, supply of potable water, generation of power, provision of sewage and waste treatment systems and basic furnishing and equipping of outposts) in the targeted FNRs.

(v)   Maintain/upgrade the key primary roads traversing the FNRs, including *inter alia* the following actions: filling ruts and holes; resurfacing; grading; water control (e.g. culverts, drains); and replacing/installing road signage.

(vi)   Maintain/upgrade the main footpath network in each FNR, including *inter alia* the following actions: clearing of overhanging vegetation; resurfacing; repairing steps; water control (drainage); and replacing/installing footpath signage.

Output 1.3 *The governance of, and benefit sharing in, six FNRs is strengthened*

This output will initially focus on raising the awareness in surrounding communities of the need to conserve, and the importance of protecting, the remaining fragments of the high forests being targeted for gazetting as FNRs. With the iterative recognition in these communities of the intrinsic value of these high forests, work under this output will then shift to collaboratively identifying potential opportunities to improve the livelihoods of those communities from the conservation and non-extractive use of the FNRs. As cooperative relationships are developed with affected local communities, the output will then seek to formalise a separate working agreement (typically in the form of a Memorandum of Understanding [MOU]) between the reserve and each adjacent village government. Activities under this output may also further seek to facilitate the implementation of these agreements, notably in respect of development opportunities for 'beneficiation' from the conservation and use of the reserve(e.g. employment; revenue sharing; rental income; capacity building; joint ventures in tourism development;

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[3] Equipped with extra fuel tank, bullbar, winch, tow bar and spotlights.

equity partnerships in private sector tourism concessions; access/traversing rights; non-extractive resource use; preferential contracting; and participation in management decision-making). Finally, work under this output will support the establishment and functioning of an 'umbrella' co-management structure for the reserve, with representation from each adjacent village government and the reserve management.

The specific activities to be undertaken in this output will include the following: For each FNR in the process of being gazetted, support the development and implementation of a communication and information-sharing programme in the adjacent villages.

(i) For each FNR in the process of being gazetted, support the development and presentation of informational 'road shows' to the district and regional government administrations about their proclamation, and the potential benefits of their establishment for local economic development.
(ii) For each targeted FNR that has been gazetted, support the negotiation, drafting and formalisation of an MOU[4] between the FNR and each adjacent village government
(iii) For each formalised village-based MOU in each FNR, assist the reserve management and the village government in the planning of, and fund-raising for, the implementation of livelihood development opportunities that are explicitly identified in these MOUs.
(iv) For each targeted FNR that has been gazetted, establish a formal joint co-management structure[5] that can *inter alia*: facilitate broader community and local government participation in the reserve management decision-making; agree on reserve-wide regulations required to control community access to the reserve's natural resources; collectively enforce tenure and natural resource use agreements between the community and reserve management; and provide an accessible and transparent dispute-resolution mechanism.

Output 1.4: The capacity of the TFS to plan and manage the six FNRs, as part of a wider network of FNRs, is improved

As a newly established executive agency, TFS is still in the very early stages of institutional reform and organisational change. Work under this output will, as an integral part of this much larger reform and change process in TFS, seek to contribute to improving the capacity of TFS to better administer a more cohesive network of forest protected areas FNRs. Under this output, GEF funds will be used to support: improving the knowledge and skills base of FNR staff; establishing and maintaining a consolidated FNR database; and establishing a collaborative information-sharing forum for the network of FNRs.

The specific activities to be undertaken in this output will include the following:

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[4] This MOU will need to conform with the national guidelines for JMAs, but may include describing *inter alia*: (a) the transition arrangements for the village communities during the 'grace period', includingscale and extent of forest access and use by communities and spatial use zonation of the reserve; (b) the respective roles and responsibilities of the village government and the reserve management in the conservation and use of the reserve; (c) the distribution of benefits to the village deriving from the current and future conservation and use of the gazetted FNR; and (d) the nature and extent of involvement of the village community in the cooperative governance of the reserve.

[5] This structure may take the form of a Reserve Advisory Committee or Reserve Management Advisory Committee or similar.

(i) Facilitate a skills development and training program for targeted FNR staff and for TFS staff providing technical and professional support services to the FNRs. This may include *inter alia*: professional short-courses; staff exchange/mentoring partnerships with counterpart national conservation agencies; and part-time studies. The following skills and knowledge will be targeted: business planning and financial management; advanced enforcement techniques; integrated fire management; integrated IAS control; community engagement and conflict resolution; monitoring state of ecosystem health; basic vehicle maintenance; footpath and road maintenance; management planning; and nature-based tourism.

(ii) Establish, maintain and host an electronic spatial and non-spatial database for the network of FNRs. (This may include the following actions: Identify and prioritize the critical information needed to support the planning and management of FNRs; Source and validate existing electronic (GIS, spreadsheets, images, etc.) or hard copy (maps, reports, tables, etc.) FNR-related information; Convert hard copy information (wherever this is practicable and cost-effective) into an electronic format; Design and establish a simple electronic information management system to facilitate the storage, retrieval and analysis of FNR data; Support the acquisition of the institutionally compatible hardware and software required to host the electronic information management system; Establish data access and data maintenance protocols for FNR information; Integrate the information management system for FNRs into the broader institutional information systems within the TFS and MNRT).

(iii) Establish and maintain a collaborative FNR working forum in which TFS staff, counterpart staff from other protected area agencies, NGOs/CBOs, research institutions and development partners can regularly meet to discuss issues related to the planning and management of FNRs.

Output 2.1: *The commercial development of tourism and recreational facilities and services in FNRs is implemented though public-private partnerships (PPP).*

This output will support the implementation of large-scale tourism concession (and/or leasing) processes in FNRs, through public-private partnerships. Successful tourism concessions/leases in FNRs will need to be characterised by: the requisite competencies in TFS to administer the concession contracts and leases; the equitable selection of financially efficient and experienced concessionaires/lessees; a portion of the income from tourism user fees is paid by the concessionaire/lessee for funding conservation management of FNRs; the environmental impacts of concessioned / leased tourism facilities and services are minimized; and tangible social and economic benefits are derived for local communities from concessions/leases.

The main elements of commercial tourism concessions/lease development that will be supported under this output include: (i) identifying the viable large-scale commercial tourism and recreational development opportunities in FNRs; (ii) describing how these tourism concession/lease opportunities in FNRs are defined, structured, priced and brought to the market; (iii) developing the internal capacity of TFS to plan and administer a concession/leasing process; (iv) facilitating local community involvement in, and beneficiation from, tourism concessions/lease processes; (v) soliciting tourism development proposals, and selecting and appointing suitable tourism operators; and (vi) managing tourism concession/lease contracts, once an operator is in place.

The specific activities to be undertaken in this output will include the following:

    (i)   Prepare, in consultation with a wide range of stakeholders, a subsidiary *Tourism Development Plan* for each FNR (see Output 1.1 above)

    (ii)   Identify (by location, type and scale) a suite of prospective large-scale tourism development opportunities in FNRs that could be administered under a PPP modality. Define a smaller sub-set of tourism development opportunities (2-4 opportunities) for a first phase ('phase 1') of the concession/leasing process[6].

    (iii)   Develop a TFS Tourism Concessions Manual[7]that outlines all aspects of the procurement stages, including issuing requests for proposals, choosing bidders and negotiations with preferred bidders. The TFS Tourism Concessions Manual will also include all relevant procurement documentation, including templates for Expressions of Interest (EOI), Tender guidelines, Tender prospectuses, Requests for Proposals (RFP), Scoring systems, and Contracts. It will specifically ensure conformance with all national PPP, environmental, procurement and tourism legislation, regulations and plans.

    (iv)   Facilitate a skills development and training program for the professional staff in TFS who will be directly responsible for implementation of the procurement, administration and management of tourism concessions/leases. This may include *inter alia*: specialised training programmes; short-courses; mentoring; and inter-institutional exchange programs.

    (v)   Prepare an Investment Prospectus for 'phase 1' tourism development opportunities, for distribution to prospective investors. The investment prospectus may provide: contextual information on the relevant FNR, including infrastructure, communities and a map of physical features; a description of the type and nature of tourism concession-leasing opportunity; the duration, rights and conditions of the concession-lease contract for each discrete investment opportunity; and the proposed tender submission date and tender fees.

    (vi)   Establish a '1-stop shop' in TFS to guide and assist prospective investors through the 'phase 1' concession/lease processes.

    (vii)   Administer the TFS tourism concession procedures for 'phase 1', including: inviting Expression of Interest (EOI); short-listing bidders; inviting submission of full proposals; evaluating proposals; and negotiating contracts with preferred bidders.

    (viii)   Facilitate and support the beneficiation of local communities (see also Output 1.3) – with a special focus on women – from their involvement in commercial tourism concessions/leases, including: use of community-based tour guides; sub-contracting of community-based businesses; procurement of locally produced supplies; training and skills development; direct employment of individuals from local communities; participation in the ownership of tourism enterprise; and investment in upgrading local services (water, roads, electricity).

    (ix)   Oversee the construction and operational phase of each tourism concession/lease contract once the operator is in place.

    (x)   Improve the state of reserve access (notably the road network) to facilitate the commercial viability of each concession.

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[6] Potential opportunities that were preliminarily identified during project preparation included: a cableway linking Morogoro to Uluguru peak in Uluguru FNR; a five-star lodge and tented camp at an old sawmill site in Magamba FNR; a breakaway conference facility and accomodation at Amani FNR; and treetops accomodation, forest canopy boardwalks and forest zipline at Uzungwa Scarp and Kilombero FNRs.

[7] The TFS Tourism Concessions Manual for FNRs may be adapted from the recently revised TFS 'Development-Action-Lease Procedures' manual for Tanzania's National Parks (1995, as updated).

Output 2.2: *The destinations, attractions, facilities and services in FNRs are effectively marketed to target audiences*

This output will focus on improving the branding and marketing of the different FNR products and services, with the overall objective of increasing the number of day and overnight visitors to the reserves.

The specific activities to be undertaken in this output will include the following:

(i) Create a branded visual 'identity' (including: logo; slogan; images; colours; fonts; etc.)[8] for FNRs.
(ii) Incorporate the FNRs visual 'identity' into all FNR communication and marketing materials (e.g. signage, uniforms, letter heads, brochures, presentation folders, stickers, fact sheets, website, advertising material, entry tickets, etc.).
(iii) Prepare a basic marketing strategy, and phased work programme, for implementation across the FNR network.
(iv) Update, and produce new, printed FNR brochures, pamphlets and information sheets.
(v) Distribute key printed marketing materials to all Tanzania Tourist Board (TTB) offices and Tanzania Tourism and Travel outlets.
(vi) Design, develop and maintain a FNR website that provides contextual information on, and markets the different tourism products and services available in, FNRs.
(vii) Facilitate communications, awareness-raising and information-sharing opportunities using different media (television, radio, magazines, newspapers, Twitter and Facebook).
(viii) Link the FNR website to the TTB and other local tourism and travel websites.
(ix) Host site-based day and overnight visits to FNRs for targeted tour operators, hotel chains and tourism agencies/associations in order to show them the range of attractions, facilities and services available in the reserves.
(x) In partnership with the Tanzania Roads Agency (TANROADS), design and install standardized directional signage to the reserves from national and regional roads.

Output 2.3: *Other income-generating activities in targeted FNRs are identified and tested.*

This output will focus on assessing the feasibility of a range of different funding mechanisms/tools for FNRs. Based on the results of this assessment, it will identify a set of key actions that will be required to mobilize financial resources for, and build financial capacity in, FNRs. A medium-term Financial Plan will be developed to provide the strategic framework for the prioritized implementation of these key actions. Based on preliminary work undertaken during the preparatory phase, this output will also finance the implementation of a number of potential income-generating opportunities in order to assess the viability of these funding mechanisms.

The specific activities to be undertaken in this output will include the following:

(i) Review and select the most appropriate mechanisms to improve revenue streams for FNRs. This may include: (a) increasing the current income from conventional financial sources (e.g. government grants, entry fees, user fees, fines, development partner funding, trust funds); (b)

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[8] The unique FNR branding will be subsumed under the institutional identity of the TFS.

developing new funding sources (e.g. tourism/recreation concessions[9], joint commercial ventures, biodiversity offsets, PES, carbon funds, special events, bioprospecting patents); and/or (c) improving cost-efficiencies (e.g. centralization of common functions, eliminating duplication, outsourcing functions; improving service delivery, public-private-community-NGO partnerships, 'smart card' system for local visitors/users).

(ii) Identify and describe the critical activities that would be required to: (a) improve the current levels of investment in FNRs; (b) mobilize additional financial resources for FNRs; (c) strengthen financial management systems in the FNR network; and (d) improve business planning capabilities in the FNR network.

(iii) Prepare a medium term Financial Plan that establishes lines of strategic action to mobilize financial resources and build the financial capacity of the FNR network.

(iv) Enter into a joint commercial venture (i.e. community-reserve) to:
   a. Establish and maintain apiaries on the borders of the FNRs located in the country's high producing areas in order to collect, bottle, label and distribute FNR-community branded montane honey and beeswax;
   b. Establish and maintain butterfly farms on the borders of FNRs to collect, farm, transport and export FNR-community branded butterfly pupae to butterfly exhibitors (refer to http://www. amanibutterflyproject.org/farming.htm for further information).

(v) Provide a fund raising service that will support TFS and FNRs in: identifying projects for external funding; targeting potential funders for these projects; preparing detailed funding proposals; liaising with different development partners and other prospective funders; and building working partnerships with development partners and other prospective funders.

(vi) Assess the feasibility of including a voluntary or compulsory' conservation levy'[10]in the municipal water authority charges for water supply from natural forested catchment areas that are under some form of active conservation management[11].

Project Implementation arrangement

The project is implemented by TFS. It has a part time TA and support from other ad hoc consultants as required. The financial management is fully embedded within the TFS systems.

GEF funding is channeled via UNDP to the Ministry of Finance whereby it is released to TFS upon request.

3. OBJECTIVES OF THIS MID-TERM REVIEW (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.

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[9] Including lessons learnt from implementing Output 2.1.

[10] For re-investment back into the conservation management of catchment forests.

[11] The project will also assess the efficacy of the current pilot PES arrangement between the Tanga Water Authority and nine villages in and around Amani FNR.

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[12] 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[13]. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, academia, local government and CSOs and project stakeholders (TFS, MNRT, Conservators in each Nature Reserve, RAS in relevant regions, NGO partners helping with the management of the different Nature Reserves, e.t.c)

Additionally, the MTR team is expected to conduct field missions to selected Nature Reserves to review progress on the ground.

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.

5.1 Project Strategy

Project design:
- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results.   Were lessons from other relevant projects properly incorporated into the project design?

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[12] For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.
[13] For more stakeholder engagement in the M&E process, see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 3, pg. 93.

- 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.

5.2 Progress towards Results

Progress towards outcomes analysis:
- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

Progress towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator[14]	Baseline Level[15]	Level in 1st PIR (self-reported)	Midterm Target[16]	End-of-project Target	Midterm Level & Assessment[17]	Achievement Rating[18]	Justification for Rating
Objective:	Indicator (if applicable):							

[14] Populate with data from the Logframe and scorecards
[15] Populate with data from the Project Document
[16] If available
[17] Colour code this column only
[18] Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

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.

5.3 Project Implementation and Adaptive Management

Management Arrangements:

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

Work Planning:

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

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?

- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

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

Stakeholder Engagement:
- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

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

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

5.4 Sustainability

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

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

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

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

Environmental risks to sustainability:
- Are there any environmental risks that may jeopardize sustenance of project outcomes?

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.[19]

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

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[19] Alternatively, MTR conclusions may be integrated into the body of the report.

report. See Annex C for ratings scales. No rating on Project Strategy and no overall project rating is required.

MTR Ratings & Achievement Summary Table

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)	

6.0 TIMEFRAME

The total duration of the MTR will be approximately 24 working days starting from 16th March 2015 according to the following plan:

TIMEFRAME	ACTIVITY
15 November 2017	Finalise TOR and requisition
15th November-15th January	Recruitment for the MTR Team
Late January 2018	Engage the consultant and handover of Project Documents and prepare MTR inception report
1-13th February (13 days)	MTR mission: stakeholder meetings, interviews, field visits
14-15th February (3 days)	Consultations with stakeholder in Dar and Morogoro
16th February (1 day)	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
17-24th February 7 days)	Preparation of the draft report and submit to UNDP CO
24th Feb to 15th March	Allow time for stakeholders to provide comments
16-18th March (3 days)	Incorporating comments including audit trail from feedback on draft report/Finalization of MTR report and submit to UNDP
20-30th March	Preparation & Issue of Management Response
1 April 2018	Expected date of full MTR completion

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

7.0 MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	**MTR Inception Report**	MTR team clarifies objectives, method and schedule for Midterm Review	No later than 2 weeks from the MTR mission start date	MTR team submits to UNDP Country Office
2	**Presentation**	Initial Findings	End of MTR in country mission	MTR Team presents to project management and UNDP Country Office
3	**Draft Report**	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the UNDP CO, reviewed by Technical Advisor, Project Coordinating Unit, GEF OFP and other relevant parties.
4	**Draft 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 UNDP Country Office and approved by the RTA and CO

8.0 MTR IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this review exercise resides with the UNDP CO in Dar Es Salaam, Tanzania in collaboration with TFS. The UNDP CO will contract the consultants and ensure the logistical arrangements are in place. The project team in Iringa will be responsible for logistical arrangements to the field visits. In consultation with the review team, PCU will assist in setting up stakeholder interviews; arrange field visits and consultation with leadership of all collaborating partners.

In preparation for the review mission, the Project Coordinator with assistance from the Technical Advisor and UNDP CO will arrange for the completion of the tracking tools (M&E, Financial and Capacity scorecards for mid-term stage). The tracking tools will be completed/endorsed by the relevant implementing agency or qualified national research /scientific institution, and not by the international consultant or UNDP staff. The tracking tools will be submitted to the mid-term review team for comment. These comments will be addressed by the project team, and the final version of the tracking tools will be attached as appendices to the Mid-term Review report. The Project team will be responsible for liaising with the MTR consultants to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9.0 TEAM COMPOSITION
A team of two independent consultants will conduct the MTR – a team leader (with international experience and exposure to projects and evaluations in other regions globally) and a national expert. The international consultant will serve as overall Team Leader and be responsible for the final quality of report submitted to UNDP. The two consultants will form a team making a joint presentation at the end of the assignment. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

9.1 Competencies

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to conservation and Natural resources management
- Work experience in relevant technical areas for at least 10 years;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;
- Experience working in East Africa

9.2 Required Skills and Experience

9.2.1 Education

- Master's degree in a relevant area such as Biodiversity Management, Protected Area development, Forest Conservation, Tourism development, Wildlife Conservation Management, Environmental sciences and Natural resources Management.

- Postgraduate diploma/certificate in Project Planning and Management is added advantage.

9.2.2 Experience
- 10 years relevant work experience in Biodiversity Management, Protected Area and Wildlife Conservation Management, Environmental sciences and Natural resources Management., including Implementation at country and decentralized levels;
- Experience in East African countries, specific experience in Tanzania will be an added advantage;
- Project development and design experience, experience in developing projects, specific experience in GEF project Evaluation and understanding will be an added advantage;
- Experience in and comfortable with working in different socio-cultural settings.

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

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

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, experience on similar assignments and methodology will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

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

- UNDP Project Document

- Project Inception Report

- All Project Implementation Reports (APR/PIR's)

- Quarterly progress reports and work plans of the various implementation task teams

- Audit reports

- Finalized ME Tracking Tool

- The mission reports and lessons learnt study

- M &E operational guidelines, all monitoring reports prepared by the project

- Financial and administration guidelines used by Project Team

The following documents will also be available:

- Project operational guidelines, manuals and systems

- UNDP country/countries programme document(s)

- Minutes of the FNR PSC committee Meetings

- Project site location maps

ANNEX B: Guidelines on Contents for the Midterm Review Report

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

i. Opening page
- Title of UNDP supported GEF financed project
- UNDP PIMS# and GEF project ID#s
- 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
- Relevant mid-term tracking tools (METT

ANNEX C: Mid-Term Review Ratings

Progress towards Results: use the following rating scale

6	Highly Satisfactory (HS)	Project 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)	Project is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	Project is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (MU)	Project is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	Project is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The Project has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

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	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components

	(MU)	requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)

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

ANNEX D: EVALUATION REPORT CLEARANCE FORM

(To be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: Gertrude Lyatuu

Signature: _____   Date:

UNDP GEF RTA

Name: _____

Signature: _____   Date: _____