## UNDP Midterm Review Terms of Reference

1. **INTRODUCTION**

This is the Terms of Reference (ToR) for the UNDP Mid-term Review (MTR) of the project titled *China’s Sustainable Bio-Energy Development Demonstration Project in Guangxi* implemented through the *China International Center for Economic and Technical Exchanges (CICETE)*, which has been undertaking since *2015 to December 2019*. According the ProDoc, the project starts on *January, 2015* and is in its *third* year of implementation. This ToR sets out the expectations for this MTR.

**2. PROJECT BACKGROUND INFORMATION**

The project was designed with the following Goal, Objective, and Outcomes:

*Project Goal: The overall China-UNDP project goal is to assist China in mitigating climate change by meeting the target as per the 12th FYP of increasing the share of renewable energy in the energy mix by 2015.*

*Project Objective:　The project will achieve the following overall objective: Through piloting a sustainable bio-energy development model, the project will assist China to implement its sustainable energy development strategy, particularly in achieving the goal of increasing share of renewable energy in the national energy consumption by 2020 which will mitigate the climate change.*

*Project Outcomes: 1) Inventory the agricultural and forestry resources and use in Chongzuo and compile Chongzuo’s Comprehensive Plan for Modern Ecological Agriculture, Forestry and Husbandry and Biomass Energy Development; 2) Establish farmer’s cooperatives and Farmers’ Field School (FFS) and enhance farmer’s production capacity through technical training; 3) Study the feasibility of innovative sugarcane harvest model and combined sugarcane harvest-juicing model; 4) Establish and pilot the biomass sourcing models, i.e. eucalyptus energy forest base, energy grasses and cassava plantations to extend the raw biomass materials sources; 5) Develop and demonstrate innovative, low-energy consumption and environment-friendly sugar refine technologies and integrated bagasse utilization technologies; and 6) Project management, monitoring and evaluation.*

*However, in terms of the timeframe, the actual implementation of the Project has differed from what was designed in the ProDco, in which in the first stage at the beginning of 2015 to the end of 2016, the project activities focus on sugarcane and related industrial upgrading, including support for the government to carry out scientific biomass planning, capacity building and training exchange system, and promote mechanization and large-scale sugar cane, etc. The second stage, at the end of 2016 to 2019, according to the stages of implementation and the findings of the first phase of the project, a joint forestry sector and sugar industry and expand the supply of biomass feedstock to establish biomass resource collection models and explore biomass power generation feasibility. Communication, as well as project management, monitoring and evaluation will be across the two phases.*

**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 (ProDoc), 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, making recommendations for continuing or discontinuing the Project.

**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. Project concept note, UNDP Environmental & Social Safeguard Policy, the ProDoc, project reports including Annual Project Review, 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 is expected to follow a collaborative and participatory approach[[1]](#footnote-1) ensuring close engagement with the Project Team, government counterparts, the UNDP Country Office(s), 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 Steering Committee, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to *Nanning and Chongzuo Guangxi*.

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.

**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.
* If there are major areas of concern, recommend areas for improvement.

Results Framework:

* Undertake a critical analysis of the project’s 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 indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix; 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)** | **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:

* 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 Implementing Partner(s) and recommend areas for improvement.
* Review the quality of support provided by the all partner agencies, including 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 as a management tool and review any changes made to it since project start.

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?

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 Steering Committee.
* Assess how well the Project Team and partners undertake and fulfil UNDP reporting requirements
* 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.

**iv. Sustainability**

* Validate whether the risks identified in the Project Document, Annual Project Review 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 UNDP 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.

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 (*China’s Sustainable Bio-Energy Development Demonstration Project in Guangxi*)

|  |  |  |
| --- | --- | --- |
| **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 9 *weeks* starting 20*th Jan 2018,* and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

* *20th Jan 2018 :* Application closes
* *23rd Jan 2018:* Selection of MTR Team
* *24th Jan 2018:* Prep the MTR Team (handover of project documents)
* *26th to 29th Jan 2018, 4 days:* Document review and preparing MTR Inception Report
* *2nd to 3rd Feb 2018, 2 days:* Finalization andValidation of MTR Inception Report- latest start of MTR mission
* *4th to 14th Feb 2018, 11 days:* MTR mission: stakeholder meetings, interviews, field visits

*20th Feb 2018:* Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission

* *20th to 28th Feb 2018, 9 days:* Preparing draft report
* *1st to 2nd Mar 2018, 2 days:* Incorporating audit trail on draft report/Finalization of MTR report
* *12th to 13th Mar 2018, 2 days:* Preparation & Issue of Management Response
* *22nd Mar 2018:* (optional)Concluding Stakeholder Workshop (not mandatory for MTR team)
* *23rd Mar 2018:* Expected date of full MTR completion

The date start of contract is 20*th Jan 2018*.

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 | Within the first 5 working days of the MTR mission | MTR team submits to the Commissioning Unit and project management |
| **2** | **Presentation** | Initial Findings | End of MTR mission | MTR Team presents to project management and the Commissioning Unit |
| **3** | **Draft Final Report** | Full report (using guidelines on content outlined in Annex B) with annexes | Within 3 weeks of the MTR mission | Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit  |
| **4** | **Final Report\*** | Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report | Within 1 week of receiving UNDP comments on draft | Sent to the Commissioning Unit |

\*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

1. **MTR ARRANGEMENTS**

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project’s MTR is *UNDP China Office.*

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements *within China* 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 one independent consultant will conduct the MTR - The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

The selection of consultant will be aimed at maximizing the overall “team” qualities in the following areas: *(give a weight to all these qualifications so applicants know what is the max amount of points they can earn for the technical evaluation)*

* Recent experience with result-based management evaluation methodologies;
* Experience applying SMART indicators and reconstructing or validating baseline scenarios;
* Competence in adaptive management;
* Experience working with UNDP or UNDP project evaluations;
* Experience working *in natural resources management in South China, China*;
* Work experience in relevant technical areas for at least 10 years;
* Demonstrated understanding of issues related to gender; experience in gender sensitive evaluation and analysis.
* Excellent communication skills;
* Demonstrable analytical skills;
* Project evaluation/review experiences within United Nations system will be considered an asset;
* A Master’s degree in *environmental science, renewable energy, environmental finance, environmental or natural resource economics*, or other closely related field.
1. **PAYMENT MODALITIES AND SPECIFICATIONS**

10% of payment upon approval of the final MTR Inception Report

30% upon submission of the draft MTR report

60% upon finalization of the MTR report

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

1. **APPLICATION PROCESS[[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 to the address (fill address) in a sealed envelope indicating the following reference “Consultant for *China’s Sustainable Bio-Energy Development Demonstration Project in Guangxi* Midterm Review” or 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. UNDP Project Document
2. UNDP Environmental and Social Screening results
3. Quarterly progress reports and work plans of the various implementation task teams
4. Audit reports
5. Oversight mission reports
6. All monitoring reports prepared by the project
7. 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 *China’s Sustainable Bio-Energy Development Demonstration Project in Guangxi* 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 project
* MTR time frame and date of MTR report
* 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
 |
| **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
 |

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

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

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

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

**ToR ANNEX F: MTR Report Clearance Form**

*(to be completed by the Commissioning Unit and UNDP and included in the final document)*

**Midterm Review Report Reviewed and Cleared By:**

**Commissioning Unit**

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**UNDP Team Leader/Deputy Country Director**

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

## UNDP Midterm Review

## Terms of Reference

**BASIC CONTRACT INFORMATION**

**Location:**

**Application Deadline:** *20th January, 2018*

**Category:** Energy and Environment

**Type of Contract:** Individual Contract

**Assignment Type:** International Consultant

**Languages Required:**

**Starting Date:** *20th January, 2018*

**Duration of Initial Contract:**

**Expected Duration of Assignment: 9 weeks**

**BACKGROUND**

**A. Project Title**

*China’s Sustainable Bio-Energy Development Demonstration Project in Guangxi*

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

This is the Terms of Reference for the UNDP Midterm Review (MTR) of the project titled *China’s Sustainable Bio-Energy Development Demonstration Project in Guangxi,* implemented through the *China International Center for Economic and Technical Exchanges (CICETE)*, which is to be undertaken in *January 2015 to December 2019*. The project started on the *January 9th, 2015* and is in its third year of implementation.

* *Project Background:　China is an emerging country experiencing unprecedented economic boost in the last two decades in particular. However, rapid economic ascendance has brought many challenges, in particular to China’s energy industry. In an environment of a rapidly expanding economy, the energy industry is confronted with dual pressures from fast economic development and environmental and ecosystem degradation. Among other things, there exists a big and further enlarging gap between energy supply and demand. As a consequence of fast increasing mineral energy consumption, large quantities of pollutants and greenhouse gases are emitted, resulting in serious air pollution and climate change. The need for using alternative energy to substitute nonrenewable energy in China hence becomes increasingly urgent and paramount.*
* *Project Objective:　The project will achieve the following overall objective: Through piloting a sustainable bio-energy development model, the project will assist China to implement its sustainable energy development strategy, particularly in achieving the goal of increasing share of renewable energy in the national energy consumption by 2020 which will mitigate the climate change.*
* If applicable, explain thoroughly the peculiarity of the setting of the project or the work required, if any (e.g., security risks involved in conducting the work in certain communities, certain cultures and practices unique to the stakeholders, etc.)

**DUTIES AND RESPONSIBILITIES**

##### **C. Scope of Work and Key Tasks**

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| The MTR team will consist of two independent consultants that will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project. The MTR team will first conduct a document review of project documents (i.e.Project Document, ESSP, Project Inception Report, Project Appraisal Committee meeting minutes, Financial and Administration guidelines used by Project Team, project operational guidelines, manuals and systems, etc.) provided by the Project Team and Commissioning Unit. Then they will participate in a MTR inception workshop to clarify their understanding of the objectives and methods of the MTR, producing the MTR inception report thereafter. The MTR mission will then consist of interviews and site visits. The MTR team will assess the following four categories of project progress and produce a draft and final MTR report. 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.
* Review how the project addresses country priorities
* Review decision-making processes

*Results Framework:** Undertake a critical analysis of the project’s indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
* Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
1. **Progress Towards Results**
* Review the indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in the *Guidance For Conducting Midterm Reviews of UNDP Projects*; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for the project objective and each outcome; make recommendations from the areas marked as “not on target to be achieved” (red).
* Compare and analyse the Tracking Tool at the Baseline with the one completed right before the Midterm Review.
* Identify remaining barriers to achieving the project objective.
* By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.
1. **Project Implementation and Adaptive Management**

assess the following categories of project progress:* Management Arrangements
* Work Planning
* Finance and co-finance
* Project-level monitoring and evaluation systems
* Stakeholder Engagement
* Reporting
* Communications
1. **Sustainability**

Assess overall risks to sustainability factors of the project in terms of the following four categories:* Financial risks to sustainability
* Socio-economic risks to sustainability
* Institutional framework and governance risks to sustainability
* Environmental risks to sustainability

The MTR consultant/team will include a section in the MTR report setting out the MTR’s evidence-based **conclusions**, in light of the findings.Additionally, the MTR consultant/team is expected to make **recommendations** to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. The MTR consultant/team should make no more than 15 recommendations total.  |

##### **D. Expected Outputs and Deliverables**

The MTR consultant/team shall prepare and submit:

* MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 5 working days before the MTR mission. To be sent to the Commissioning Unit and project management. Approximate due date: (3*rd February2017*)
* Presentation: Initial Findings presented to project management and the Commissioning Unit at the end of the MTR mission. Approximate due date: (*20th February2017*)
* Draft Final Report: Full report with annexes within 3 weeks of the MTR mission. Approximate due date: (28*th February 2017*)
* Final Report\*: Revised report with annexed audit trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Approximate due date: (*2nd, March 2017*)

\*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

**E. Institutional Arrangement**

**F. Duration of the Work**

The total duration of the MTR will be approximately 9 *weeks* starting 20*th Jan 2018,* and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

* *20th Jan 2018 :* Application closes
* *23rd Jan 2018:* Selection of MTR Team
* *24th Jan 2018:* Prep the MTR Team (handover of project documents)
* *26th to 29th Jan 2018, 4 days:* Document review and preparing MTR Inception Report
* *2nd to 3rd Feb 2018, 2 days:* Finalization andValidation of MTR Inception Report- latest start of MTR mission
* *4th to 14th Feb 2018, 11 days:* MTR mission: stakeholder meetings, interviews, field visits

*20th Feb 2018:* Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission

* *20th to 28th Feb 2018, 9 days:* Preparing draft report
* *1st to 2nd Mar 2018, 2 days:* Incorporating audit trail on draft report/Finalization of MTR report
* *12th to 13th Mar 2018, 2 days:* Preparation & Issue of Management Response
* *22nd Mar 2018:* (optional)Concluding Stakeholder Workshop (not mandatory for MTR team)
* *23rd Mar 2018:* Expected date of full MTR completion

The date start of contract is 20*th Jan 2018*.

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project’s MTR is *UNDP China Office.*

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

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| --- |
| Identify the consultant’s duty station/location for the contract duration, mentioning ALL possible locations of field works/duty travel in pursuit of other relevant activities, especially where traveling to locations at security Phase I or above will be required.**Travel:*** International travel will be required to (Guangxi Province) during the MTR mission;
* The Basic Security in the Field II and Advanced Security in the Field courses must be successfully completed prior to commencement of travel;
* Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
* Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>
* All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.
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**G. Duty Station**

**REQUIRED SKILLS AND EXPERIENCE**

**H. Qualifications of the Successful Applicants**

The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas: (give a weight to all these qualifications so applicants know what is the max amount of points they can earn for the technical evaluation)

* Recent experience with result-based management evaluation methodologies;
* Experience applying SMART targets and reconstructing or validating baseline scenarios;
* Competence in adaptive management;
* Experience working with UNDP or the UNDP evaluations;
* Experience working in natural resources management in South *China*;
* Work experience *in relevant technical areas for at least 10 years*;
* Demonstrated understanding of issues related to gender and *biomass sector*; experience in gender sensitive evaluation and analysis;
* Excellent communication skills;
* Demonstrable analytical skills;
* Project evaluation/review experiences within United Nations system will be considered an asset;
* A Master’s degree in *environmental science, renewable energy, environmental finance, environmental or natural resource economics*, or other closely related field.

***Consultant Independence:***

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

**APPLICATION PROCESS**

**I. Scope of Price Proposal and Schedule of Payments**

***Financial Proposal:***

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

***Schedule of Payments:***

10% of payment upon approval of the MTR Inception Report

30% upon submission of the draft MTR Report

60% upon finalization of the MTR Report

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

**J. Recommended Presentation of Offer**

1. Completed **Letter of Confirmation of Interest and Availability** using the [template](https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx) provided by UNDP;
2. **Personal CV or a [P11 Personal History form](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)**, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references;
3. **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
4. **Financial Proposal** that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP. See Letter of Confirmation of Interest template for financial proposal template.

Incomplete applications will be excluded from further consideration.

**K. Criteria for Selection of the Best Offer**

The award of the contract will be made to the Individual Consultant who has obtained the highest Combined Score and has accepted UNDP’s General Terms and Conditions. Only those applications which are responsive and compliant will be evaluated. The offers will be evaluated using the “Combined Scoring method” where:

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

**L. Annexes to the MTR ToR**

Include existing literature or documents that will help candidates gain a better understanding of the project situation and the work required.

Possible annexes include:

* List of documents to be reviewed by the MTR Team
* Guidelines on Contents for the Midterm Review Report
* UNEG Code of Conduct for Evaluators/Midterm Review Consultants
* MTR Required Ratings Table and Ratings Scales
* MTR Report Clearance Form
* Sample MTR Evaluative Matrix
* Progress Towards Results Matrix and MTR Ratings & Achievement Summary Tables (in Word)
1. For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](http://www.undp.org/content/undp/en/home/librarypage/capacity-building/discussion-paper--innovations-in-monitoring---evaluating-results/), 05 Nov 2013. [↑](#footnote-ref-1)
2. For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](http://www.undg.org/docs/11653/UNDP-PME-Handbook-%282009%29.pdf), Chapter 3, pg. 93. [↑](#footnote-ref-2)
3. Populate with data from the 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)