## UNDP-GEF Midterm Review Terms of Reference

**Title:** International consultant for midterm review of the GEF Project: “Climate Smart Urban Development Challenge”

**Programme:** GEF Project:” Climate Smart Urban Development Challenge”, PIMS No 5551

**Reporting to:** Portfolio Manager

**Duty Station:** Home based (14 working days) and at least two mission to Belgrade (11 working days and travel days) and this includes day trip visits to project locations in Serbia

**Type of contract:** Individual Contract (IC) or Reimbursable Loan Agreement (RLA) based on Long Term Agreement (LTA)

**Duration:** 7 August 2019 to 15 December 2019

**Estimated number of working days:** 25 working days over a period of 5 months from 1 August 2019 to 15 December 2019

**BACKGROUND**

1. **Project Title: Climate Smart Urban Development Challenge**

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

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *medium*-sized project titled *Climate Smart Urban Development Challenge* (PIMS 5551) implemented through the *UNDP*, which is to be undertaken in *2019*. The project started on the *21 February 2017* and is in its *third* year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the second Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (*See Annexes*).

The United Nations Development Programme (UNDP), acting as an implementing agency of the Global Environment Facility (GEF), is supporting the Ministry of Environmental Protection (MoEP) to implement the five-year “Climate Smart Urban Development Challenge (CSUD)” project, jointly financed by the GEF, MoEP and stakeholders. The objective of the project is to promote climate-smart urban development. By a challenge prize approach, it seeks to actively engage the civil society, public and business communities to come up with new and innovative ideas on how to contribute to this in practice and to jointly develop, finance and implement these ideas further. Broader and more effective use of new information and communication technologies (ICT)to enable and spearhead innovation and productivity gains, optimization of the resource use (e.g. by improved energy efficiency and resource sharing), reduction of physical mobility needs, more attractive public and non-motorized transport, increased use of renewable energy sources, climate smart waste management (improved recycling schemes and waste to energy) and other measures contributing to climate change mitigation are among the topics to be considered in this context.

The project implementation started in February 2017 and will last until December 2021. The total project budget is US$ 12,510,000, out of which US$ 1,950,000 is GEF budget, UNDP US$ 100,000, in-kind US$ 500,000 and other (parallel) cash US$ 9,960,000.

Main project outcomes are:

Outcome 1: Improved access to and availability of data by an open data approach for development, management and monitoring of CSUD related performance of Serbian municipalities.

Outcome 2: New innovative technical and systemic solutions and business models contributing to climate

Outcome 3: Knowledge management and M&E to facilitate learning, scaling up and replication of project results.

All activities and measures undertaken by the project will need to result in tangible GHG emissions reduction and considered from the perspective of climate smart planning. Project provided assistance in the establishment of “Innovation Challenge Programme” with the goal to provide initial capital for interested stakeholders (including businesses, research-scientific institutions, civil society organizations, individuals etc.) for testing and initiation of most innovative project ideas, including the opportunity for further co-financing of the most successful solutions. By the establishment of “Innovation Challenge Programme, project seeks to actively engage the civil society, research-scientific institutions, public and business community to come up with new and innovative ideas on how to contribute to this in practice and to jointly develop, finance and implement these ideas further.

The project assists municipalities to mainstream ICT into city management systems, putting in place digital inventories and tools to gather data and monitor actions. The **Open Data Challenge** was a public call for proposing innovative and cost-efficient ideas/solutions for simple and user-friendly public access to city/municipal climate change-related data, and for improving the management of this data. Open Data Challenge Call was open from 22 November 2017 until 05 February 2018, following the awarding of the best innovative ideas in June 2018. Under this challenge eight innovative ideas proposed by local self-government (municipalities and cities) were awarded, covering areas of energy efficiency, solar energy promotion, sustainable transportation, waste management, engagement of citizens in urban planning and development. In the following stage, the project is focused at the development and testing of the information system for climate smart urban development (including also the local greenhouse gas inventory). After completion of such information system, the project will also asses and award those cities and municipalities which have demonstrated most progress and high performance in its launching and implementation.

The **Innovation Challenge** was a public call for proposing innovative and cost-effective ideas for the reduction of greenhouse gases (GHG) emission created by public services and facilities, while simultaneously providing social, economic and environmental benefits for the community and its citizens. Out of 111 innovative ideas received to the challenge, 34 project ideas in total proposed by individuals, public and private companies, CSOs, local self-governments and research community, have been selected and were further mentored by the Climate Incubator/Accelerator towards mature projects stage. Selected project ideas under the Innovation Challenge are related to the areas of energy efficiency, renewable energy, bio-fuels, urban mobility, agriculture, green infrastructure, organic waste management, forestry.

In order to support further development of innovative project ideas and project proposals selected during independent evaluation under both Challenges, into projects and businesses that are ready for implementation at local level, the Ministry of Environmental Protection and UNDP have established a Climate Incubator/Accelerator. Services that are provided through the Climate Incubator include: business advisory support, one-on-one mentoring, facilitating access to finance and market, building partnerships and networking, promotion, targeted trainings and review and/or development of technical documentation.

Overall, the CSUD project promotes innovative and integrative approaches and new technologies for reducing greenhouse gas emissions at the local level and new business models, public private partnerships and social inclusiveness. This should further trigger transformational shift towards smart, inclusive cities of the future that are based on citizens participation and citizens centered solutions.

**DUTIES AND RESPONSIBILITIES**

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

The MTR team will consist of two independent consultants that will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one national team expert, from the country of the project. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

The MTR international consultant 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. The MTR team must provide evidence-based information that is credible, reliable and useful. The MTR team will first conduct a document review of project documents (i.e. PIF, UNDP Initiation Plan, Project Document, ESSP, Project Inception Report, PIRs, Finalized GEF focal area Tracking Tools, Project Appraisal Committee meeting minutes, Financial and Administration guidelines used by Project Team, project operational guidelines, manuals and systems, etc.) provided by the Project Team and Commissioning Unit. Then they will participate in a MTR inception workshop to clarify their understanding of the objectives and methods of the MTR, producing the MTR inception report thereafter. The MTR mission will then consist of interviews and site visits to (list preliminary sites). 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 first MTR field mission begins.

The international expert will participate in two missions to Serbia, one of five working days (towards the start of the contract and preferably in late August or early September) and one of two working days (towards the end of the assignment preferably by the end of October) to present the draft final report to all key stakeholders and to discuss the key recommendations of the MTR. The international expert will be supported by one national expert, contracted by UNDP to provide the baseline analysis report for the project related activities and to assist with organizing and participating with meetings with key stakeholders during the evaluation mission.

The MTR team is expected to follow a collaborative and participatory approach[[1]](#footnote-1) ensuring close engagement with the national expert 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. The MTR will follow the new January 2019 Guidelines for Evaluations and be carried out in accordance with the guidelines on independence of evaluations.

Engagement of stakeholders is vital to a successful MTR.[[2]](#footnote-2) Stakeholder involvement should include interviews by both the international expert and the national expert with stakeholders who have project responsibilities, including but not limited to the Ministry of Environmental Protection, Serbian Environmental Protection Agency, UNDP, other Project partners, key experts and consultants in the subject area, Project Board, project stakeholders, local governments, academia, nongovernmental organizations, public and private companies etc.. Additionally, the MTR team is expected to conduct field missions to at least two locations of the supported pilot projects. It is envisaged that these field visits should be carried out during the first mission to Serbia.

The final MTR report should take into account all the written and verbal comments of key stakeholders and it should be finalized after the second shorter mission to Serbia. 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.

**DETAILED SCOPE OF THE MTR**

The MTR team will assess the following four categories of project progress and produce a draft and final MTR report. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for requirements on ratings. No overall rating is required.

1. **Project Strategy**

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

**i. Project Strategy**

Project design:

* Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
* Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
* Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
* Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
* Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
* If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

* Undertake a critical analysis of the project’s logframe indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
* Are the project’s objectives and outcomes or components clear, practical, and feasible within its time frame?
* Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
* Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART ‘development’ indicators, including sex-disaggregated indicators and indicators that capture development benefits.

**ii. Progress Towards Results**

Progress Towards Outcomes Analysis:

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

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

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Strategy** | **Indicator[[3]](#footnote-3)** | **Baseline Level[[4]](#footnote-4)** | **Level in 1st PIR (self- reported)** | **Midterm Target[[5]](#footnote-5)** | **End-of-project Target** | **Midterm Level & Assessment[[6]](#footnote-6)** | **Achievement Rating[[7]](#footnote-7)** | **Justification for Rating**  |
| **Objective:**  | Indicator (if applicable): |  |  |  |  |  |  |  |
| **Outcome 1:** | Indicator 1: |  |  |  |  |  |  |  |
| Indicator 2: |  |  |  |  |  |
| **Outcome 2:** | Indicator 3: |  |  |  |  |  |  |  |
| Indicator 4: |  |  |  |  |  |
| Etc. |  |  |  |  |  |
| **Etc.** |  |  |  |  |  |  |  |  |

**Indicator Assessment Key**

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

In addition to the progress towards outcomes analysis:

* Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
* Identify remaining barriers to achieving the project objective in the remainder of the project.
* By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

**iii. Project Implementation and Adaptive Management**

Management Arrangements:

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

Work Planning:

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

Finance and co-finance:

* Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
* Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
* Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
* Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

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

Stakeholder Engagement:

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

Reporting:

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

Communications:

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

**iv. Sustainability**

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

Financial risks to sustainability:

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

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

* Are there any environmental risks that may jeopardize sustenance of project outcomes?

**Conclusions & Recommendations**

The MTR team will include a section in the MTR report setting out the MTR’s evidence-based **conclusions**, in light of the findings.[[8]](#footnote-8)

Additionally, the MTR international consultant 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 international consultant should make no more than 15 recommendations total.

**Ratings**

The MTR international consultant will include its ratings of the project’s results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table for (*Project Title*)

|  |  |  |
| --- | --- | --- |
| **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) |  |

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Deliverable** | **Description** | **Timing** | **Responsibilities** |
| **1** | **MTR Inception Report** | MTR team clarifies objectives and methods of Midterm Review | No later than 2 weeks before the MTR mission: 15 August 2019  | MTR team submits to the Commissioning Unit and project management |
| **2** | **Presentation** | Initial Findings | End of MTR mission: 6 September 2019  | 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 second MTR mission: 14 October 2019  | Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP |
| **4** | **Final Report\*** | Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report | Within 1 week of receiving UNDP comments on draft: 15 December 2019  | 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.

**E. Institutional Arrangement**

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

The Commissioning Unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR 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.

**F. Duration of the Work**

The total duration of the MTR will be approximately *25 days)* over a time period of *five months* starting *1 August 2019,* and shall not exceed five months from when the international consultant is hired. The tentative MTR timeframe is as follows:

|  |  |
| --- | --- |
| **TIMEFRAME** | **ACTIVITY** |
| *26 July 2019* | Application closes |
| *7 August 2019* | Select MTR Team |
| *12 August 2019* | Prep the MTR Team (handover of Project Documents) |
| *12 August – 22 August 2019 (2 days)* | Document review and preparing MTR Inception Report |
| *26 August 2019 (1 days)*  | Finalization andValidation of MTR Inception Report- latest start of MTR mission |
| *2 September – 6 September 2019 (7 days)* | MTR mission #1: stakeholder meetings, interviews, field visits |
| *6 September 2019* | Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission |
| *9 September – 30 September 2019 days (8 days)* | Preparing draft report |
| *7 October – 11 October 2019 (4 days)*  | MTR mission #2: stakeholder meetings, interviews, field visits |
| *14 October – 4 November 2019 (3 days)* | Incorporating audit trail from feedback on draft report/Finalization of MTR report (note: accommodate time delay in dates for circulation and review of the draft report) |
| *15 November 2019*  | Preparation & Issue of Management Response |
| *15 December 2019*  | Expected date of full MTR completion |

The date start of contract is 1 August 2019.

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

**G. Duty Station**

Duty station is home based, with at least one mission to Serbia. During the mission in Serbia MTR team will visit at least two sites as provided in the Inception Report.

**REQUIRED SKILLS AND EXPERIENCE**

**H. Qualifications of the Applicant**

**Skills and Competencies**

* Excellent analytical skills;
* Displays ability to synthesize research and reach empirically based conclusions on related subject;
* Strong writing skills;
* Proven capacity to produce reports;
* Displays capacity to provide experienced advice on best practices;
* Possesses knowledge of inter-disciplinary development issues;
* Focuses on result for the client and responds positively to feedback;
* Good application of Results-Based Management;
* Good communication, coordination and facilitation skills;
* Consistently ensures timeliness and quality of work;
* Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
* Demonstrates integrity by modeling ethical standards.

**Qualifications and Experience**

*Education:*

* Advanced University degree in the fields relevant for the assignment engineering/environment/economy.

*Work experience:*

1. Minimum 10 years of relevant professional experience, preferably in international/multilateral development context;
2. Proven expert knowledge of available multilateral environmental funds (GEF, GCF, AF, etc.) project cycle.
3. Proven experience in developing/implementing climate change projects – preferably in the region
4. Previous experience in project evaluation methodologies;
5. Previous successful experience in the development and approval of multilateral environmental funds projects would be an asset;
6. Previous experience with UNDP is a great advantage;
7. Experience of work in the region is an asset;
8. Previous assignments in the role of relevant senior expert positions would be considered as an asset.

*Knowledge*

* Knowledge of UNDP, evaluation policy, norms and standards;
* Knowledge of IPCC Methodologies, Guidelines, UNFCCC documents and the EU legislation and Sendai Framework;

*Personal qualifications*

* Ability to deliver when working under pressure and within changing circumstances;
* Consistently approaches work with energy and a positive, constructive attitude;
* Excellent interpersonal skills.

*Language:*

* Excellent English writing skills are essential;

Knowledge of Serbian/Croatian/Bosnian/Montenegrin language(s) shall be considered as an asset.

**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.);
* 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

**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**

**ToR ANNEX A: List of documents to be reviewed by the MTR Team**

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Implementation Reports (PIR’s)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF focal area Tracking Tools for Climate Change Mitigation Projects at CEO endorsement and midterm evaluation
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by Project Team

The following documents will also be available:

1. Project operational guidelines, manuals and systems
2. UNDP country/countries programme document(s)
3. Minutes of the Climate Smart Urban Development Challenge projectBoard 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**[[9]](#footnote-9)

|  |  |
| --- | --- |
| **i.** | Basic Report Information *(for opening page or title page)** Title of UNDP supported GEF financed project
* UNDP PIMS# and GEF project ID#
* MTR time frame and date of MTR report
* Region and countries included in the project
* GEF Operational Focal Area/Strategic Program
* Executing Agency/Implementing Partner and other project partners
* MTR team members
* Acknowledgements
 |
| **ii.**  | Table of Contents |
| **iii.** | Acronyms and Abbreviations |
| **1.** | Executive Summary *(3-5 pages)* * Project Information Table
* Project Description (brief)
* Project Progress Summary (between 200-500 words)
* MTR Ratings & Achievement Summary Table
* Concise summary of conclusions
* Recommendation Summary Table
 |
| **2.** | Introduction *(2-3 pages)** Purpose of the MTR and objectives
* Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
* Structure of the MTR report
 |
| **3.** | Project Description and Background Context *(3-5 pages)** Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
* Problems that the project sought to address: threats and barriers targeted
* Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
* Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
* Project timing and milestones
* Main stakeholders: summary list
 |
| **4.** | Findings *(12-14 pages)* |
| **4.1** | Project Strategy* Project Design
* Results Framework/Logframe
 |
| **4.2** | Progress Towards Results * Progress towards outcomes analysis
* Remaining barriers to achieving the project objective
 |
| **4.3** | Project Implementation and Adaptive Management* Management Arrangements
* Work planning
* Finance and co-finance
* Project-level monitoring and evaluation systems
* Stakeholder engagement
* Reporting
* Communications
 |
| **4.4** | Sustainability* Financial risks to sustainability
* Socio-economic to sustainability
* Institutional framework and governance risks to sustainability
* Environmental risks to sustainability
 |
| **5.** | Conclusions and Recommendations *(4-6 pages)* |
|  |  **5.1**   | Conclusions * Comprehensive and balanced statements (that are evidence-based and connected to the MTR’s findings) which highlight the strengths, weaknesses and results of the project
 |
|  **5.2** | Recommendations * Corrective actions for the design, implementation, monitoring and evaluation of the project
* Actions to follow up or reinforce initial benefits from the project
* Proposals for future directions underlining main objectives
 |
| **6.**  | Annexes* MTR ToR (excluding ToR annexes)
* MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
* Example Questionnaire or Interview Guide used for data collection
* Ratings Scales
* MTR mission itinerary
* List of persons interviewed
* List of documents reviewed
* Co-financing table (if not previously included in the body of the report)
* Signed UNEG Code of Conduct form
* Signed MTR final report clearance form
* *Annexed in a separate file:* Audit trail from received comments on draft MTR report
* *Annexed in a separate file:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.)*
 |

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

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

**ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants[[10]](#footnote-10)**

**Evaluators/Consultants:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**MTR Consultant Agreement Form**

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of Consultancy Organization (where relevant): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Place)* on *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Date)*

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

**ToR ANNEX E: MTR Ratings**

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| **Ratings for Progress Towards Results:** (one rating for each outcome and for the objective) |
| 6 | Highly Satisfactory (HS) | The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”. |
| 5 | Satisfactory (S) | The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings. |
| 4 | Moderately Satisfactory (MS) | The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings. |
| 3 | Moderately Unsatisfactory (HU) | The objective/outcome is expected to achieve its end-of-project targets with major shortcomings. |
| 2 | Unsatisfactory (U) | The objective/outcome is expected not to achieve most of its end-of-project targets. |
| 1 | Highly Unsatisfactory (HU) | The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets. |

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

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

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

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

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

**Commissioning Unit**

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

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

**UNDP-GEF Regional Technical Advisor**

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

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

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 Logframe and scorecards [↑](#footnote-ref-3)
4. Populate with data from the Project Document [↑](#footnote-ref-4)
5. If available [↑](#footnote-ref-5)
6. Colour code this column only [↑](#footnote-ref-6)
7. Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU [↑](#footnote-ref-7)
8. Alternatively, MTR conclusions may be integrated into the body of the report. [↑](#footnote-ref-8)
9. The Report length should not exceed *40* pages in total (not including annexes). [↑](#footnote-ref-9)
10. [www.undp.org/unegcodeofconduct](http://www.undp.org/unegcodeofconduct) [↑](#footnote-ref-10)