

UNDP-GEF Midterm Review

Terms of Reference

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *full* sized project titled Sixth Operational Phase of the GEF SGP in Indonesia (PIMS5529) implemented through Yayasan Bina Usaha Lingkungan (YBUL), under the NGO execution modality, which is to be undertaken in 2018. The project started on the 10th of June 2017 and is in its *second* 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* ([hyperlink](#)).

2. PROJECT BACKGROUND INFORMATION

The project is designed to to enhance and maintain socio-ecological resilience of one forested and three coastal landscapes through community-based initiatives in Sulawesi, East Nusa Tenggara, and Bali, Indonesia through the generation of global environmental benefits. The project will enable community organizations and NGOs to develop and implement adaptive landscape/seascape management strategies that build social, economic and ecological resilience based on local sustainable development benefits.

The target landscapes and seascapes are a key forest landscape of Nantu Wild Life Reserve, Gorontalo province, as well as coastal seascapes of Sulawesi (Wakatobi archipelagos); Bali (Nusa Penida island); and East Nusa Tenggara (Semau Island). To pursue the outcomes of these adaptive landscape/seascape management strategies, community organizations will implement grant projects, reviewed and approved by the SGP National Steering Committee. Community-based projects will be supported by multi-stakeholder agreements, involving local government, private sector, NGOs and other partners.

The 4-year project (expected operational closure June 10th, 2021) is implemented by UNDP and executed through Yayasan Bina Usaha Lingkungan (YBUL), under the NGO execution modality, under the existing mechanism of the GEF Small Grants Programme including the approval of each initiative by the National Steering Committee CDN, as well as the due monitoring which will be provided, under the leadership of the National Program Coordinator. The overall total project cost is \$ 3,561,644.00 (grant amount without fee), with an expected co-financing of \$11,749,385.

3. OBJECTIVES OF THE MTR

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach¹ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.² Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *Perkumpulan Pikul (East Nusa Tenggara)*, *Yayasan Wisnu (Bali)*, *Forkani (Wakatobi/Southeast Sulawesi)*, *Japesda (Gorontalo)*, *Principia (Jakarta)*, and *Perkumpulan Kaoem Telapak (Bogor)*, executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to Jakarta, Bogor, Semau Island (East Nusa Tenggara Timur), Nusa Penida (Bali), Wakatobi (Southeast Sulawesi), and Gorontalo, including the following project sites in those area.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. DETAILED SCOPE OF THE MTR

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

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?

¹ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

² For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

- Review 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	Baseline Level ⁴	Level in 1 st PIR (self-reported)	Midterm Target ⁵	End-of-project Target	Midterm Level & Assessment ⁶	Achievement Rating ⁷	Justification for Rating
Objective:	Indicator (if applicable):			N/A				
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

⁸ Alternatively, MTR conclusions may be integrated into the body of the report.

Indicator Assessment Key

Green= Achieved

Yellow= On target to be achieved

Red= Not on target to be achieved

In addition to the progress towards outcomes analysis:

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

iii. Project Implementation and Adaptive Management

Management Arrangements:

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

Work Planning:

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

Finance and co-finance:

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

Project-level Monitoring and Evaluation Systems:

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

Stakeholder Engagement:

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

Reporting:

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

Communications:

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

iv. Sustainability

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

Financial risks to sustainability:

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

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

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

Conclusions & Recommendations

The MTR team will include a section of the report setting out the MTR’s evidence-based conclusions, in light of the findings.⁸

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR team should make no more than 15 recommendations total.

Ratings

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

Table. MTR Ratings & Achievement Summary Table for **(Sixth Operational Phase of the GEF SGP in Indonesia)**

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

⁸ Alternatively, MTR conclusions may be integrated into the body of the report.

The total duration of the MTR will be approximately 24 working days over a time period of 8 of weeks, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

ACTIVITY	NUMBER OF WORKING DAYS	COMPLETION DATE
Document review and preparing MTR Inception Report (MTR Inception Report due no later than 2 weeks before the MTR mission)	3 days (recommended: 2-4 days)	5th December, 2018
MTR mission: stakeholder meetings, interviews, field visits	8 days (recommended: 7-15 days)	17th December 2018
Presentation of initial findings- last day of the MTR mission	1 day	19th December 2018
Preparing draft report (due within 3 weeks of the MTR mission)	8 days (recommended: 5-10 days)	January 3, 2019
Finalization of MTR report/ Incorporating audit trail from feedback on draft report (due within 1 week of receiving UNDP comments on the draft) (note: accommodate time delay in dates for circulation and review of the draft report)	5 days (recommended: 3-4 days)	January 15, 2018

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

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission	MTR team submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission	MTR Team presents to project management and the Commissioning Unit
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

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

8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is the Indonesia 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.

9. TEAM COMPOSITION

One independent consultant will conduct the MTR - with experience and exposure to projects and evaluations in other regions globally) and from the country of the project. 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:

- Recent experience with result-based management evaluation methodologies; 10 points
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Work experience in relevant technical areas for at least 10 years; 10 points
- Competence in adaptive management, as applied to Biodiversity Conservation, Climate Change and Land Degradation; 10 points
- Experience working with the GEF or GEF-evaluations; especially with SGP - Small Grants Programme; 20 points
- Experience working in the Asia and the Pacific region; 10 points
- Demonstrated understanding of issues related to gender, including experience in gender sensitive evaluation and analysis 10
- Project evaluation/review experiences within United Nations system will be considered an asset; 10 points
- A Master's degree in areas of environment and sustainable development, or other closely related field. 10 points
- Fluency in written and spoken English 10 points
- Excellent communication skills;
- Demonstrable analytical skills

10. 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.

11. APPLICATION PROCESS⁹

Recommended Presentation of Proposal:

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>

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)¹⁰ provided by UNDP;
- b) **CV** and a **Personal History Form (P11 form)**¹¹;
- c) **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)
- d) **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 indicating the following reference “Consultant for UNDP-GEF Midterm Review” or by email at the following address ONLY: bids.id@undp.org by **2nd December 2018 at 23.59 GMT +7**. Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

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

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

The following documents will also be available:

13. Project operational guidelines, manuals and systems
14. UNDP country/countries programme document(s)
15. Minutes of the *(Project Title)* Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
16. Project site location maps

ToR ANNEX B: Guidelines on Contents for the Midterm Review Report¹²

¹⁰

<https://intranet.undp.org/unit/bom/psa/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

¹¹ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

¹² The Report length should not exceed **40** pages in total (not including annexes).

- 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

(Questions to be filled out by the Commissioning Unit)

This Midterm Review Evaluative Matrix must be fully completed/amended by the consultant and included in the MTR inception report and as an Annex to the MTR report.

Annex VII: Evaluation Criteria Matrix

Evaluative Criteria	Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the focal areas, and to the environment and development priorities at the local, regional and national levels for indigenous crop and livestock diversity conservation in Indonesia?				
Is the project relevant to the GEF Focal Area objectives?	<ul style="list-style-type: none"> • How does the project support the objectives of the UNCBD? 	<ul style="list-style-type: none"> • UNCBD priorities and areas of work incorporated in project design • Extent to which the project is implemented in line with incremental cost argument 	<ul style="list-style-type: none"> • Project documents • National policies and strategies to implement the UNCBD, other international conventions, or related to environment more generally • UNCBD and other international 	<ul style="list-style-type: none"> • Documents analyses • Interviews with project team, UNDP and other partners

			convention web sites	
Is the project relevant the GEF biodiversity focal area and other relevant focal areas?	<ul style="list-style-type: none"> How does the project support the GEF biodiversity focal area and strategic priorities related to agro-biodiversity conservation 	<ul style="list-style-type: none"> Existence of a clear relationship between the project objectives and GEF biodiversity focal area 	<ul style="list-style-type: none"> Project documents GEF focal areas strategies and documents 	<ul style="list-style-type: none"> Documents analyses GEF website Interviews with UNDP and project team
Is the project relevant to Indonesia's environment and sustainable development objectives?	<ul style="list-style-type: none"> How does the project support the environment and sustainable development objectives of Indonesia? Is the project country-driven? What was the level of stakeholder participation in project design? What was the level of stakeholder ownership in implementation? Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation? 	<ul style="list-style-type: none"> Degree to which the project supports national environmental objectives Degree of coherence between the project and national's priorities, policies and strategies Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities Level of involvement of government officials and other partners in the project design process Coherence between needs expressed by national stakeholders and UNDP-GEF criteria 	<ul style="list-style-type: none"> Project documents National policies and strategies Key project partners 	<ul style="list-style-type: none"> Documents analyses Interviews with UNDP and project partners
Is the project addressing the needs of target beneficiaries at the local and regional levels?	<ul style="list-style-type: none"> How does the project support the needs of relevant stakeholders? Has the implementation of the project been inclusive of all relevant stakeholders? Were local beneficiaries and stakeholders adequately involved in project design and implementation? 	<ul style="list-style-type: none"> Strength of the link between expected results from the project and the needs of relevant stakeholders Degree of involvement and inclusiveness of stakeholders in project design and implementation 	<ul style="list-style-type: none"> Project partners and stakeholders Needs assessment studies Project documents 	<ul style="list-style-type: none"> Document analysis Interviews with relevant stakeholders
Is the project internally coherent in its design?	<ul style="list-style-type: none"> Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc)? Is the length of the project sufficient to achieve project outcomes? 	<ul style="list-style-type: none"> Level of coherence between project expected results and project design internal logic Level of coherence between project design and project implementation approach 	<ul style="list-style-type: none"> Program and project documents Key project stakeholders 	<ul style="list-style-type: none"> Document analysis Key interviews

How is the project relevant with respect to other donor-supported activities?	<ul style="list-style-type: none"> Does the GEF funding support activities and objectives not addressed by other donors? How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors? Is there coordination and complementarity between donors? 	<ul style="list-style-type: none"> Degree to which program was coherent and complementary to other donor programming nationally and regionally 	<ul style="list-style-type: none"> Documents from other donor supported activities Other donor representatives Project documents 	<ul style="list-style-type: none"> Documents analyses Interviews with project partners and relevant stakeholders
Does the project provide relevant lessons and experiences for other similar projects in the future?	<ul style="list-style-type: none"> Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis
Effectiveness: To what extent have the expected outcomes and objectives of the project been/be achieved?				
Has the project been effective in achieving the expected outcomes and objectives?	<ul style="list-style-type: none"> Has the project been effective in achieving its expected outcomes? 	<ul style="list-style-type: none"> See indicators in project document results framework and logframe 	<ul style="list-style-type: none"> Project documents Project team and relevant stakeholders Data reported in project annual and quarterly reports 	<ul style="list-style-type: none"> Documents analysis Interviews with project team Interviews with relevant stakeholders
How is risk and risk mitigation being managed?	<ul style="list-style-type: none"> How well are risks, assumptions and impact drivers being managed? What was the quality of risk mitigation strategies developed? Were these sufficient? Are there clear strategies for risk mitigation related with long-term sustainability of the project? 	<ul style="list-style-type: none"> Completeness of risk identification and assumptions during project planning and design Quality of existing information systems in place to identify emerging risks and other issues Quality of risk mitigations strategies developed and followed 	<ul style="list-style-type: none"> Project documents UNDP, project team, and relevant stakeholders 	<ul style="list-style-type: none"> Document analysis Interviews
What lessons can be drawn regarding effectiveness for other similar projects in the future?	<ul style="list-style-type: none"> What lessons have been learned from the project regarding achievement of outcomes? What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?				

Was project support provided in an efficient way?	<ul style="list-style-type: none"> Was adaptive management used or needed to ensure efficient resource use? Did the project logical framework and work plans and any changes made to them use as management tools during implementation? Were the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? Were progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? Was project implementation as cost effective as originally proposed (planned vs. actual)? Did the leveraging of funds (co-financing) happen as planned? Were financial resources utilized efficiently? Could financial resources have been used more efficiently? Was procurement carried out in a manner making efficient use of project resources? How was results-based management used during project implementation? 	<ul style="list-style-type: none"> Availability and quality of financial and progress reports Timeliness and adequacy of reporting provided Level of discrepancy between planned and utilized financial expenditures Planned vs. actual funds leveraged Cost in view of results achieved compared to costs of similar projects from other organizations Adequacy of project choices in view of existing context, infrastructure and cost Quality of results-based management reporting (progress reporting, monitoring and evaluation) Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency Cost associated with delivery mechanism and management structure compare to alternatives 	<ul style="list-style-type: none"> Project documents and evaluations UNDP Project team 	<ul style="list-style-type: none"> Document analysis Key interviews
How efficient are partnership arrangements for the project?	<ul style="list-style-type: none"> To what extent partnerships/linkages between institutions/ organizations were encouraged and supported? Which partnerships/linkages were facilitated? What was the level of efficiency of cooperation and collaboration arrangements? Which methods were successful or not and why? 	<ul style="list-style-type: none"> Specific activities conducted to support the development of cooperative arrangements between partners, Examples of supported partnerships Evidence that particular partnerships/linkages will be sustained Types/quality of partnership cooperation methods utilized 	<ul style="list-style-type: none"> Project documents and evaluations Project partners and relevant stakeholders 	<ul style="list-style-type: none"> Document analysis Interviews
Did the project efficiently utilize	<ul style="list-style-type: none"> Was an appropriate balance struck between utilization 	<ul style="list-style-type: none"> Proportion of expertise utilized from international experts 	<ul style="list-style-type: none"> Project documents 	<ul style="list-style-type: none"> Document analysis

local capacity in implementation ?	<p>of international expertise as well as local capacity?</p> <ul style="list-style-type: none"> • Did the project take into account local capacity in design and implementation of the project? • Was there an effective collaboration between institutions responsible for implementing the project? 	<p>compared to national experts</p> <ul style="list-style-type: none"> • Number/quality of analyses done to assess local capacity potential and absorptive capacity 	<p>and evaluations</p> <ul style="list-style-type: none"> • UNDP • Beneficiaries 	<ul style="list-style-type: none"> • Interviews
What lessons can be drawn regarding efficiency for other similar projects in the future?	<ul style="list-style-type: none"> • What lessons can be learnt from the project regarding efficiency? • How could the project have more efficiently carried out implementation (in terms of management structures and procedures, partnerships arrangements etc...)? • What changes could have been made (if any) to the project in order to improve its efficiency? 		<ul style="list-style-type: none"> • Data collected throughout evaluation 	<ul style="list-style-type: none"> • Data analysis
Results: What are the current actual, and potential long-term, results of activities supported by the project?				
How is the project effective in achieving its long-term objectives?	<ul style="list-style-type: none"> • Will the project achieve its overall objective ? • Is the globally significant biodiversity of the target area likely to be conserved? • What barriers remain to achieving long-term objectives, or what necessary steps remain to be taken by stakeholders to achieve sustained impacts and Global Environmental Benefits? • Are there unanticipated results achieved or contributed to by the project? 	<ul style="list-style-type: none"> • Change in capacity: <ul style="list-style-type: none"> ○ To pool/mobilize resources ○ For related policy making and strategic planning ○ For implementation of related laws and strategies through adequate institutional frameworks and their maintenance • Change in use and implementation of sustainable livelihoods • Change in the number and strength of barriers such as: <ul style="list-style-type: none"> ○ Knowledge about biodiversity conservation and sustainable use of biodiversity resources, and economic incentives in these areas ○ Cross-institutional coordination and inter-sectoral dialogue ○ Knowledge of biodiversity conservation and 	<ul style="list-style-type: none"> • Project documents • Key stakeholders • Monitoring data 	<ul style="list-style-type: none"> • Documents analysis • Meetings with UNDP, project team and project partners • Interviews with project beneficiaries and other stakeholders

		<p>sustainable use practices by end users</p> <ul style="list-style-type: none"> ○ Coordination of policy and legal instruments incorporating biodiversity conservation and agro-environmental strategies ○ Agro-environmental economic incentives for stakeholders 		
How is the project effective in achieving the objectives of the UNCBD?	<ul style="list-style-type: none"> • What are the impacts or likely impacts of the project? <ul style="list-style-type: none"> ○ On the local environment; ○ On economic well-being; ○ On other socio-economic issues. 	<ul style="list-style-type: none"> • Provide specific examples of impacts at species, ecosystem or genetic levels, as relevant 	<ul style="list-style-type: none"> • Project documents • UNCDB documents • Key Stakeholders • Monitoring data 	<ul style="list-style-type: none"> • Data analysis • Interviews with key stakeholders
Future directions for results	<ul style="list-style-type: none"> • How can the project build on its successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives? 		<ul style="list-style-type: none"> • Data collected throughout evaluation 	<ul style="list-style-type: none"> • Data analysis
Sustainability: Are the conditions in place for project-related benefits and results to be sustained?				
Are sustainability issues adequately integrated in project design?	<ul style="list-style-type: none"> • Were sustainability issues integrated into the design and implementation of the project? 	<ul style="list-style-type: none"> • Evidence / quality of sustainability strategy • Evidence / quality of steps taken to ensure sustainability 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP and project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews
Financial sustainability	<ul style="list-style-type: none"> • Did the project adequately address financial and economic sustainability issues? • Are the recurrent costs after project completion sustainable? • What are the main institutions/organizations in country that will take the project efforts forward after project end and what is the budget they have assigned to this? 	<ul style="list-style-type: none"> • Level and source of future financial support to be provided to relevant sectors and activities after project ends • Evidence of commitments from international partners, governments or other stakeholders to financially support relevant sectors of activities after project end • Level of recurrent costs after completion of project and funding sources for those recurrent costs 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP and project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews

<p>Institutional and governance sustainability</p>	<ul style="list-style-type: none"> • Were the results of efforts made during the project implementation period well assimilated by organizations and their internal systems and procedures? • Is there evidence that project partners will continue their activities beyond project support? • What degree is there of local ownership of initiatives and results? • Were laws, policies and frameworks addressed through the project, in order to address sustainability of key initiatives and reforms? • What is the level of political commitment to build on the results of the project? • Are there policies or practices in place that create perverse incentives that would negatively affect long-term benefits? 	<ul style="list-style-type: none"> • Degree to which project activities and results have been taken over by local counterparts or institutions/organizations • Level of financial support to be provided to relevant sectors and activities by in-country actors after project end • Efforts to support the development of relevant laws and policies • State of enforcement and law making capacity • Evidences of commitment by government enactment of laws and resource allocation to priorities 	<ul style="list-style-type: none"> • Project documents and evaluations • UNDP and project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Document analysis • Interviews
<p>Social-economic sustainability</p>	<ul style="list-style-type: none"> • Are there adequate incentives to ensure sustained benefits achieved through the project? 		<ul style="list-style-type: none"> • Project documents and evaluations • UNDP, project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Interviews • Documentation review
<p>Environmental sustainability</p>	<ul style="list-style-type: none"> • Are there risks to the environmental benefits that were created or that are expected to occur? • Are there long-term environmental threats that have not been addressed by the project? • Have any new environmental threats emerged in the project's lifetime? 	<ul style="list-style-type: none"> • Evidence of potential threats such as infrastructure development • Assessment of unaddressed or emerging threats 	<ul style="list-style-type: none"> • Project documents and evaluations • Threat assessments • Government documents or other external published information • UNDP, project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Interviews • Documentation review
<p>Individual, institutional and systemic capacity development</p>	<ul style="list-style-type: none"> • Is the capacity in place at the regional, national and local levels adequate to ensure sustainability of the results achieved to date? 	<ul style="list-style-type: none"> • Elements in place in those different management functions, at the appropriate levels (regional, national and local) in terms of adequate structures, 	<ul style="list-style-type: none"> • Project documents • UNDP, project personnel and project partners • Beneficiaries 	<ul style="list-style-type: none"> • Interviews • Documentation review

		strategies, systems, skills, incentives and interrelationships with other key actors	<ul style="list-style-type: none"> Capacity assessments available, if any 	
Replication	<ul style="list-style-type: none"> Is there potential to scale up or replicate project activities? Did the project's Exit Strategy actively promote replication? 	<ul style="list-style-type: none"> Number/quality of replicated initiatives Number/quality of replicated innovative initiatives Scale of additional investment leveraged 	<ul style="list-style-type: none"> Project Exit Strategy UNDP, project personnel and project partners 	<ul style="list-style-type: none"> Document analysis Interviews
Challenges to sustainability of the project	<ul style="list-style-type: none"> What are the main challenges that may hinder sustainability of efforts? Have any of these been addressed through project management? What could be the possible measures to further contribute to the sustainability of efforts achieved with the project? 	<ul style="list-style-type: none"> Challenges in view of building blocks of sustainability as presented above Recent changes which may present new challenges to the project Education strategy and partnership with school, education institutions etc. 	<ul style="list-style-type: none"> Project documents and evaluations Beneficiaries UNDP, project personnel and project partners 	<ul style="list-style-type: none"> Document analysis Interviews
Future directions for sustainability and catalytic role	<ul style="list-style-type: none"> Which areas/arrangements under the project show the strongest potential for lasting long-term results? What are the key challenges and obstacles to the sustainability of results of the project initiatives that must be directly and quickly addressed? 		<ul style="list-style-type: none"> Data collected throughout evaluation 	<ul style="list-style-type: none"> Data analysis

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: _____

¹³ <http://www.unevaluation.org/document/detail/100>

ToR ANNEX E: MTR Ratings

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

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

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

ToR ANNEX F: MTR Report Clearance Form

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

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name: _____	
Signature: _____	Date: _____
UNDP-GEF Regional Technical Advisor	
Name: _____	
Signature: _____	Date: _____

ToR ANNEX G: Audit Trail Template

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

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

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

Author	#	Para No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken