



TERMS OF REFERENCE

UNDP - CROSS BORDER PROJECT MIDTERM REVIEW

Project title: Cross – border cooperation between Ethiopia and Kenya for Conflict Prevention and Peace building in Marsabit-Moyale Cluster

1. INTRODUCTION

This is the Terms of Reference (ToR) for the Cross border project Midterm Review (MTR) of the full-sized project titled Cross border cooperation between Ethiopia and Kenya for Conflict Prevention and Peace building in Marsabit-Moyale Cluster implemented in close collaboration with Ministry of Devolution and County Government of Marsabit and the Ministry of Peace, Oromia Regional Government and Somali Regional Government of the Federal Democratic Republic of Ethiopia. The project which is in its second year of implementation started February 2018. This ToR sets out the expectations for this MTR. The MTR process follows the guidance outlined in the document *Guidance for Conducting Midterm Reviews of UNDP-Ethiopia and UNDP- Kenya Supported projects*.

2. PROJECT BACKGROUND INFORMATION

The United Nation Development Programme (UNDP) in collaboration with the Governments of Ethiopia and Kenya, and the Intergovernmental Authority on Development (IGAD), started implementation of this Cross-border cooperation project between Ethiopia and Kenya for conflict prevention and peacebuilding in Marsabit-Moyale cluster. In Kenya, the objectives of the project are in line with the Government of Kenya's policy under the Third Medium-Term Plan (2018-2022) of the Sector Working group of Security, Peace Building and Conflict Resolution that emphasizes the importance of addressing cross-border conflicts and regional instabilities as well as strengthening early warning systems. In Ethiopia, the objectives of the project are well-aligned with Growth and Transformation Plan II and other subsequent national and regional plans.

The three-year project is a response to the Memorandum of Understanding (MoU) signed by the Governments of Ethiopia and Kenya to promote sustainable peace and socio-economic development in the border region of both countries. It will focus on supporting the implementation of peace building and prevention of violent conflict initiatives aimed at reducing vulnerability and increasing resilience of communities affected by conflict in the border areas of Marsabit County, Kenya and the Borana and Dawa Zones, Ethiopia. This project is part of the Cross-Border Integrated Programme for Sustainable Peace and Socio-economic Transformation: Marsabit County, Kenya; and Borana and Dawa Zones, Ethiopia. The

project is well linked to the Regional Project: Support for Effective Cooperation and Coordination of Cross-border Initiatives (SECCCI Project) implemented and undertaken by the Regional Service Center for Africa.

The key result areas of the project include:

1. *Improved capacity of local governments for preventing conflict and promoting sustainable peace;*
2. *Enhanced peace and strengthen community resilience to prevent conflict and withstand shocks*
3. *Efficiency and effective delivery of outputs and activities on conflict prevention and peace building enhanced.*

The project is expected to run from February 2018 to February 2021 with a total budget of USD 2,037,338 funded by European Union.

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.

The mid-term review will have the specific objectives of:

- Review and reconstruct the theory of change of the project to map the results pathways and also assess cause - effect relationships.
- Assess the relevance, effectiveness, efficiency and sustainability of the project interventions;
- Identify implementation issues and challenges/bottlenecks which constrain project and financial delivery;
- Provide evidence whether the project implementation is on track or off-track during the mid-year period and propose measures to rectify;
- Identify lessons learned and recommendations, based on evidence, so as to improve relevance, effectiveness, efficiency and sustainability of project results, and also document knowledge basis from the programme design and implementation;
- Identify strengths and weaknesses of the project in the application of right-based approach, participation and inclusion and possible recommendations to apply in the remaining period of the project;

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence-based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase, project reports, activity reports and any other materials that the team considers useful for this evidence-based review. The MTR team will review the result framework which was developed during the initiation stage.

The mid-term review is an opportunity to examine, as systematically and objectively as possible, the relevance, effectiveness, efficiency, appropriateness and sustainability of the Cross Border Project in supporting the implementation of peace building and prevention of violent conflict initiatives and in reducing vulnerability and increasing resilience of the targeted communities. The MTR team is expected to follow a collaborative and participatory approach¹ ensuring close engagement with the Project Team, government counterparts (Ministry of Devolution and ASALs, County Governments in Kenya, and Ministry of Peace and Regional Governments of Oromia/Somalia), the UNDP Country Office(s), UNDP-Chief 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 County Government of Marsabit, 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 the County of Marsabit and Borana/Dawa Zones.

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.

1. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context on the achievement of 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/County and regional governments' priorities. Review ownership. Was the project concept in line with the national sector development priorities and plans and County priorities as outlined in County Integrated Development Plan?
- 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, considered during project design processes?
- Review the extent to which relevant gender issues are included in the project design and implementation.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Log frame:

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.

- 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.
- Analyse whether broader development and gender aspects of the project are being monitored effectively. If not, recommend SMART ‘development’ indicators, including sex-disaggregated indicators and indicators that capture development benefits.

2. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the log frame 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):							
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
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In addition to the progress towards outcomes analysis:

³ Populate with data from the Logframe and scorecards

⁴ Populate with data from the Project Document

⁵ If available

⁶ Colour code this column only

⁷ Use the 6-point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- Identify remaining barriers to and challenges in achieving the project objective in the remainder of the project implementation period.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

3. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by 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?
- Is the sequencing of the action the most effective one to reach the intended project objectives?
- 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? If the need is identified, 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?
- Coordination: is there sufficient coordination among the different actors and stakeholders involved in the project to maximize positive project results, including whether there is sufficient awareness and capacity among the various stakeholder groups for them to benefit as intended

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 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 key stakeholders left out of communication? Does communication with stakeholders contribute to raise 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.
- Review the extent to which the project has contributed to increased income from sustainable use of natural resources (with respect to Outcome 3), and to assess the magnitude, distribution and sustainability of any such increased income.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- Are the financial and economic resources likely to be available once the funding ends (consider potential resources from multiple sources, such as the public and private sectors, income generating activities, and other funding that is likely to be available 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?

Process-related risks to sustainability:

- Are lessons learned 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 shall include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.⁸

Recommendations shall be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's Executive Summary.

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

Ratings

The MTR team 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.

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

Table. MTR Ratings & Achievement Summary Table for the Project: *Cross border cooperation between Ethiopia and Kenya for conflict prevention and peacebuilding in Marsabit-Moyale Cluster*

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

The total duration of the MTR will be approximately 30 days spread over a time period of 12 weeks starting 23rd March 2020 and shall not exceed three months from when the consultant is hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
13 th March 2020	Application closes
18 th March 2020	Select MTR Consultant
23 rd March 2020	Prep the MTR Team (handover of Project Documents)
	Document review and preparing MTR Inception Report
	Finalization and Validation of MTR Inception Report- latest start of MTR mission
	MTR mission: stakeholder meetings, interviews, field visits
	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
	Preparing draft report
	Incorporating audit trail from feedback on draft report/Finalization of MTR report

	Preparation & Issue of Management Response
	(optional) Concluding Stakeholder Workshop (not mandatory for MTR consultant)
	Expected date of full MTR completion

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

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	MTR Inception Report	MTR consultant clarifies objectives and methods of Midterm Review	No later than 1 weeks before the MTR mission:	MTR Consultant submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission:	MTR Consultant 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:	MTR Consultant submits 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:	MTR Consultant submits 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 UNDP Country Office.

The commissioning unit will contract the consultant 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. CONSULTANT QUALIFICATIONS

An independent consultant with the regional experience and exposure to projects and evaluations of natural resource management interventions will conduct the MTR. The consultant will not 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 any project-related activities.

Qualifications and evaluation criteria

- Postgraduate (PhD or master's degree) in a relevant field such as project planning and management; development studies, peace building and conflict management (15 marks)
- Knowledge/work experience on peace building and conflict management. (15 marks)
- Recent experience with result-based management evaluation methodologies; (15 marks)
- Experience applying SMART indicators and reconstructing or validating baseline scenarios; (10 marks)
- Work experience in relevant technical areas for at least 10 years; (10 marks)
- Demonstrated understanding of issues related to gender and peace building; experience in gender sensitive evaluation and analysis; (5 marks)
- Excellent communication skills; excellent mastery of drafting in the English language (10 marks)
- Demonstrable analytical skills; (10 marks)
- Project evaluation/review experiences within United Nations system will be considered an asset; (10 marks)

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.

Only those candidates that meet the minimum level of education and relevant years of experience requirements will be considered for the technical evaluation. The technical evaluation will include a desk review to select the shortlisted candidates.

Only candidates obtaining a minimum of 49 points (70%) on technical evaluation will be considered for the Financial Evaluation.

Financial evaluation (maximum 30 points):

The following formula will be used to evaluate financial proposal:

$p = y (\mu/z)$, where

p = points for the financial proposal being evaluated

y = maximum number of points for the financial proposal

μ = price of the lowest priced proposal

z = price of the proposal being evaluated

10. PAYMENT MODALITIES AND SPECIFICATIONS

20% of payment upon approval of the final MTR Inception Report

40% upon submission of the draft MTR report

40% upon finalization of the MTR report

Transport for field work and DSA will be provided to the consultant while in the field at the UN applicable rates.

11. APPLICATION PROCESS

Recommended Presentation of Proposal:

- a) Letter of Confirmation of Interest and Availability using the template provided;
- b) CV and a Personal History Form ([P11 form](#));
- 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; (using IC proposal template provided)
- d) Financial Proposal (using the template provided) 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.

Attachments

Attachment 1 - TERMS OF REFERENCES (TOR)

Attachment 2 - IC PROPOSAL FORM

Attachment 3 - P11 TEMPLATE

Attachment 4- OFFEROR'S LETTER TO UNDP

Attachment 5 - INDIVIDUAL CONSULTANT GENERAL TERMS AND CONDITIONS

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

1. UNDP Project Document
2. UNDP Environmental and Social Screening results
3. All Project Implementation Reports (PIR's)
4. Quarterly progress reports
5. Annual Report
6. Annual Work Plans
7. Audit reports

8. Oversight mission reports
9. All monitoring reports prepared by the project
10. Financial and Administration guidelines used by Project Team

The following documents will also be available:

11. Project operational guidelines, manuals and systems
12. UNDP country/countries programme document(s)
13. Minutes of Project Appraisal Committee meetings
14. Project site location maps

ToR ANNEX B: Guidelines on Contents for the Midterm Review Report⁹

- i.** Basic Report Information (*for opening page or title page*)
 - Title of UNDP supported Cross border project
 - Project ID
 - MTR time frame and date of MTR report
 - Project area
 - 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

⁹ The Report length should not exceed 40 pages in total (not including annexes).

- 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)

ToR ANNEX C: Midterm Review Evaluative Matrix Template

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

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: _____

¹⁰ www.undp.org/unegcodeofconduct

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

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name: <u>Dan Juma, Team Leader, Governance and Inclusive Growth</u>	
Signature: _____	Date: _____
UNDP- Chief Technical Advisor	
Name: <u>Dr. Asfaw Kumssa</u>	
Signature: _____	Date: _____

(to be completed by the Commissioning Unit and UNDP Chief Technical Advisor and included in the final document)