*NOTE: This file contains two MTR ToR templates – Template 1 (page 1) is formatted for the UNDP Procurement website and Template 2 (page 18) is formatted for the UNDP Jobs website*

## CONSULTANT TERMS OF REFERENCE

## 

## GENERAL INFORMAION

## INDIVIDUAL CONTRACT (IC)

## PROPOSAL SUBMISSION FORM

## Advertisement for Recruitment of National Individual consultant for a Consultancy service to undertake Project Midterm Review (MTR)

## Procurement Notice Ref. No.:

## Published (Posted on): , 2020

## Submission Deadline: --------------------------2020 @ 5:30 PM in the Afternoon (UTC+03:00) Addis Ababa/Nairobi Time Zone

## United Nations Development Programme (UNDP)

## Addis Ababa, Ethiopia

## 

## Services/Work Description: To undertake Project Mid Term Review (MTR)

## Project/Program Title: Protected Area Management & Illegal Wildlife Trafficking Enforcement Ethiopia

## Post Title: International Individual Consultant to undertake Project Mid Term Review (MTR)

## Consultant Level: Level (C)

## Duty Station: Addis Ababa with ravel to the five Protected Areas

## Expected Places of Travel: Chebera Churchura, Omo, Mago, Kafta Shirarao Protected Areas and Babille Elephant Sanctuary.

## Expected Start Date: September 1, 2020 immediately after the Contract Agreement is concluded

1. **INTRODUCTION**

This is the Terms of Reference (ToR) for -the Midterm Review (MTR) of the *full*-sized UNDP-supported GEF-financed project titled *Project Title* PA Management & IWT Enforcement Ethiopia (PIMS#5609) implemented through the Ethiopian Wildlife Conservation Authority (EWCA), which is to be undertaken in *2020.* The project started on the *October 4th, 2017* and is in its *third* year of implementation. 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* (<http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf>).

**2. PROJECT BACKGROUND INFORMATION**

The project was designed to: implement solutions that will counter the threats to biodiversity and overcome the barriers to effective management of protected areas and to combatting illegal wildlife trade. It seeks to achieve the project’s objective: **to build Ethiopia’s capacity for biodiversity conservation through increased effectiveness of protected area management and implementation of measures to reduce Illegal Wildlife Trade (IWT) and poaching**. The objective will be achieved through the implementation of three project components. **Component 1**: *Protected area management and biodiversity conservation*. This component will focus on *demonstrating* how effective management of protected areas in Ethiopia can be achieved by targeting a small number of protected areas, given that the selected pilot sites are those protected areas in which key target species (elephants and big cats) are found. **Component 2**: *Implementation of anti-trafficking measures*. This component will focus on improving different aspects of law enforcement so as to increase the deterrent to illegal wildlife trafficking. **Component 3**: *Landscape approach to forest and agro-biodiversity conservation*. This component focuses on realizing the value of agro-biodiversity for the country and specifically for people living in the vicinity of the protected areas targeted in Component 1. Finally, **Component 4** *Knowledge Management, Gender Mainstreaming, and M&E:* Lessons learned from the project via active participation of all stakeholder groups in the project implementation, gender mainstreaming and M&E will be made available nationally and internationally to facilitate the fight against IWT. Ultimately, the project will contribute to **long-term impacts** or **global environmental benefits** including: i) the recovery of wildlife populations in project sites Ethiopia, specifically targeting elephants, lions and cheetahs: these were selected as GWP flagship species to measure the success of the proposed project, and ii) there is no loss of habitat and agro-biodiversity. This project forms part of the GEF *Programmatic Approach to Prevent the Extinction of Known Threatened Species and* falls under the GEF Programme*Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (9071)*. Under this programmatic framework, with the coordination through the programme steering committee, coordinated knowledge management and cross-fertilization of the individual regional and national projects will be assured.

The total project budget is about USD 7.5 Million both from the GEF an UNDP in addition to this the project has also USD about 83 million in kind co-finance for its 72 months implementation period (2017-2023). The implementation modality of the project is National Implementation Modality (NIM).

**3. MTR PURPOSE**

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.

MTR are very instrumental to assess the project progress so far and check whether the project is on Track or need adjustments. This exercise result is very instrumental for the donor, UNDP, Project Management Unit and implementing partner (Environment, Forest, Climate Change Commission and its replica both at regional and district levels). Moreover, the timing of the MTR review fits with UNDP Ethiopia Country office evaluation time table. Accordingly, the office will benefit from its result to assess its quality assurance responsibility.

**4. MTR APPROACH & METHODOLOGY**

The MTR report 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 Social and Environmental Screening Procedure/SESP), the Project Document, project reports including annual PIRs, project budget revisions, 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 Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach[[1]](#footnote-1) ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *the Environment, Forest and Climate Change Commission, Ethiopian Wildlife Conservation Authority, UNDP country and regional Office and Ethiopian Biodiversity institution*; 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 *5 protected areas* including the following project sites: *Omo, Mago, Chebera Chuchura, Kafta Shiraro National Park and Babille Elephant Sanctuary.*

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The MTR team must use gender-responsive methodologies and tools and ensure that gender equality and women’s empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report.

The final methodological approach including interview schedule, field visits and data to be used in the MTR must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

*(Note: The TOR should retain enough flexibility for the MTR team to determine the best methods and tools for collecting and analysing data. For example, the TOR might suggest using questionnaires, field visits and interviews, but the evaluation team should be able to revise the approach in consultation with the evaluation manager and key stakeholders. These changes in approach should be agreed and reflected clearly in MTR Inception Report)*

The final MTR report must 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?
* 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.
  + Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women’s groups, engaging women in project activities) raised in the Project Document?
* 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[[2]](#footnote-2)** | **Baseline Level[[3]](#footnote-3)** | **Level in 1st PIR (self- reported)** | **Midterm Target[[4]](#footnote-4)** | **End-of-project Target** | **Midterm Level & Assessment[[5]](#footnote-5)** | **Achievement Rating[[6]](#footnote-6)** | **Justification for Rating** |
| **Objective:** | Indicator (if applicable): |  |  |  |  |  |  |  |
| **Outcome 1:** | Indicator 1: |  |  |  |  |  |  |  |
| Indicator 2: |  |  |  |  |  |
| **Outcome 2:** | Indicator 3: |  |  |  |  |  |  |  |
| Indicator 4: |  |  |  |  |  |
| Etc. |  |  |  |  |  |
| **Etc.** |  |  |  |  |  |  |  |  |

**Indicator Assessment Key**

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

In addition to the progress towards outcomes analysis:

* Compare and analyse the GEF Tracking Tool/Core Indicators 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.
* Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
* What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
* What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

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 by the Commissioning Unit and project team, 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?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Sources of Co-financing** | **Name of Co-financer** | **Type of Co-financing** | **Co-financing amount confirmed at CEO Endorsement (US$)** | **Actual Amount Contributed at stage of Midterm Review (US$)** | **Actual % of Expected Amount** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  | **TOTAL** |  |  |  |

* Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes each co-financing amount as ‘investment mobilized’ or ‘recurrent expenditures’. (This template will be annexed as a separate file.)

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?
* Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

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?
* How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women’s participation in the project. What can the project do to enhance its gender benefits?

Social and Environmental Standards (Safeguards)

* Validate the risks identified in the project’s most current SESP, and those risks’ ratings; are any revisions needed?
* Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
  + The project’s overall safeguards risk categorization.
  + The identified types of risks[[7]](#footnote-7) (in the SESP).
  + The individual risk ratings (in the SESP).
* Describe and assess progress made in the implementation of the project’s social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project’s design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP’s safeguards policy that was in effect at the time of the project’s approval.

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 & Knowledge Management:

* 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.
* List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

**iv. Sustainability**

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

Financial risks to sustainability:

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

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

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

**Conclusions & Recommendations**

The MTR team will include a section in the MTR report for evidence-based conclusions, in light of the findings.

Additionally, the MTR consultant/team is expected to make recommendations to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. 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 (*Project Title*)

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

1. **TIMEFRAME**

The total duration of the MTR will be approximately 46 calendar daysover a time period of *9* 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) | *2 days (recommended: 2-4 days)* | *September 1 -2, 2020* |
| MTR mission: stakeholder meetings, interviews, field visits | *15 days (recommended: 7-15 days)* | *September 5 – 22, 2020* |
| Presentation of initial findings- last day of the MTR mission | *1 day* | *September 23, 2020* |
| Preparing draft report (due within 3 weeks of the MTR mission) | *8 days (recommended: 5-10 days)* | *October 2, 2020* |
| 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)* | *4 days (recommended: 3-4 days)* | *October 16, 2020* |

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

1. **MIDTERM REVIEW DELIVERABLES**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Deliverable** | **Description** | **Timing** | **Responsibilities** |
| **1** | **MTR Inception Report** | MTR team clarifies objectives and methods of Midterm Review | No later than 2 weeks before the MTR mission  September 3, 2020 | MTR team submits to the Commissioning Unit and project management |
| **2** | **Presentation** | Initial Findings | End of MTR mission  September 23, 2020 | MTR Team presents to project management and the Commissioning Unit |
| **3** | **Draft MTR Report** | Full draft report (using guidelines on content outlined in Annex B) with annexes | Within 3 weeks of the MTR mission  October 2, 2020 | 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  October 16, 2020 | Sent to the Commissioning Unit |

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

1. **MTR ARRANGEMENTS**

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project’s MTR is Inclusive Growth and Sustainable Develop unit of the UNDP Ethiopia 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 and will provide an updated stakeholder list with contact details (phone and email). The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

1. **TEAM COMPOSITION**

A team of two independent consultants (one international and one national) will conduct the MTR –the International Consultant (Team Leader) with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project. The Team Leader will  *be responsible for the overall design and writing of the Mid Term Evaluation report within the agreed deadline.* The National Consultant will *assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, work with the Project Team in developing the Mid Term itinerary. Moreover, due to the current COVID\_19 situation, the TL and the National consultants will agree on the field visit and conducting face to face stakeholders’ discussion.*

*As indicated above the National Consultant will work with the Project Team and is fully responsible in preparing meeting meetings with appropriate stakeholder, assess emerging trends with respect to regulatory frameworks, budget allocations, capacity building, developing work and travel to Protected areas depending the COVD-19 pandemic situation.*

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

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

Education

* A Master’s degree in Biodiversity, Protected Area Management Natural Resources Management or other closely related field (15 points)

Experience

* Relevant experience with result-based management evaluation methodologies; (15 points)
* Experience applying SMART indicators and reconstructing or validating baseline scenarios; (15 point)
* Competence in adaptive management, as applied to Biodiversity Focal area (illegal wildlife trade); (15 point)
* Experience in evaluating projects; (5 point)
* Experience working in Africa; (5 point)
* Experience in relevant technical areas for at least 10 years; (15 point)
* Demonstrated understanding of issues related to gender and Biodiversity focal area; experience in gender sensitive evaluation and analysis. (5 points)
* Excellent communication skills; (5 points)
* Demonstrable analytical skills; (5 points)
* Project evaluation/review experiences within United Nations system will be considered an asset.

Language

* Fluency in written and spoken English.
* Fluency in Amharic and knowledge of local language is an asset.

1. **ETHICS**

The MTR team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’. The MTR team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR team must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

1. **PAYMENT SCHEDULE**

* 20% payment upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit
* 40% payment upon satisfactory delivery of the draft MTR report to the Commissioning Unit
* 40% payment upon satisfactory delivery of the final MTR report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%[[8]](#footnote-8):

* The final MTR report includes all requirements outlined in the MTR TOR and is in accordance with the MTR guidance.
* The final MTR report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
* The Audit Trail includes responses to and justification for each comment listed.

1. **Evaluation Criteria**

| Criteria | | Weight | Max. Point |
| --- | --- | --- | --- |
| Technical Competence (based on CV, Proposal and interview (if required)) | | 70% | 100 |
| * Criteria a. Educational relevance: close fit to post | |  | 10 |
| * Criteria b. Understanding the scope of work and organization of the proposal | |  | 50 |
| * Criteria c. Experience of similar assignment | |  | 30 |
| * Criteria d. Previous work experience in Africa/ Ethiopia | |  | 10 |
| Financial (Lower Offer/Offer\*100) | | 30% | 30 |
| Total Score | Technical Score \* 70% + Financial Score \* 30% | | |

1. **APPLICATION PROCESS[[9]](#footnote-9)**

*The recruitment of the TL will use the HQ roster and for the local consultant RSC roster list will be used.(Adjust this section if a vetted roster will be used)*

**Recommended Presentation of Proposal:**

1. **Letter of Confirmation of Interest and Availability** using the [template](https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx)[[10]](#footnote-10) provided by UNDP;
2. **CV** and a **Personal History Form** ([P11 form](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)[[11]](#footnote-11));
3. **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
4. **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_%20Individual%20Contract_Offerors%20Letter%20to%20UNDP%20Confirming%20Interest%20and%20Availability.docx&action=default). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (fill address) in a sealed envelope indicating the following reference “Consultant for (*project title*) Midterm Review” or by email at the following address ONLY: (fill email) This email address is being protected from spam bots, you need Javascript enabled to view it by ***(time and date).*** Incomplete applications will be excluded from further consideration.

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

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

*(The Commissioning Unit is responsible for compiling these documents prior to the recruitment of the MTR team so that they are available to the team immediately after contract signature.)*

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Social and Environmental Screening Procedure (SESP)
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/Core Indicators 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:

1. Project operational guidelines, manuals and systems
2. UNDP country/countries programme document(s)
3. Minutes of the (Project Title: PA Management & IWT Enforcement Ethiopia) Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
4. Project site location maps
5. Any additional documents, as relevant.

**ToR ANNEX B: Guidelines on Contents for the Midterm Review Report**[[12]](#footnote-12)

|  |  |  |  |
| --- | --- | --- | --- |
| **i.** | Basic Report Information *(for opening page or title page)*   * Title of UNDP 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 * Social and Environmental Standards (Safeguards) * Reporting * Communications & Knowledge Management | |
| **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.) or Core Indicators* * *Annexed in a separate file: GEF Co-financing template (categorizing co-financing amounts by source as ‘investment mobilized’ or ‘recurrent expenditure’)* | | |

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

*(Draft questions to be filled out by the Commissioning Unit with support from the Project Team)*

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.

|  |  |  |  |
| --- | --- | --- | --- |
| **Evaluative Questions** | **Indicators** | **Sources** | **Methodology** |
| **Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?** | | | |
| (include evaluative question(s)) | (i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.) | (i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.) | (i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.) |
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| **Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?** | | | |
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|  |  |  |  |
| **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? To what extent has progress been made in the implementation of social and environmental management measures? Have there been changes to the overall project risk rating and/or the identified types of risks as outlined at the CEO Endorsement stage?** | | | |
|  |  |  |  |
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| **Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?** | | | |
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**ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants[[13]](#footnote-13)**

**Evaluators/Consultants:**

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

**MTR Consultant Agreement Form**

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

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

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

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

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

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

**ToR ANNEX E: MTR Ratings**

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

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

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

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

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

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

**Commissioning Unit (M&E Focal Point)**

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

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

**Regional Technical Advisor (Nature, Climate and Energy)**

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 not by the person’s name, and track change comment number (“#” column):*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Author** | **#** | **Para No./ comment location** | **Comment/Feedback on the draft MTR report** | **MTR team**  **response and actions taken** |
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## Midterm Review Terms of Reference

**Standard Template 2: Formatted information to be entered in** [**UNDP Jobs website**[[14]](#footnote-14)](https://jobs.undp.org/)

**BASIC CONTRACT INFORMATION**

**Location:**

**Application Deadline:**

**Type of Contract:** Individual Contract

**Post Level:** International Consultant

**Languages Required:**

**Starting Date:** (date when the selected candidate is expected to start)

**Duration of Initial Contract:**

**Expected Duration of Assignment:**

**BACKGROUND**

**A. Project Title**

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

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full or medium-sized project titled Project Title (PIMS#) implemented through the Executing Agency/Implementing Partner, which is to be undertaken in year. The project started on the Project Document signature date and is in its third year of implementation. 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* (*insert hyperlink*).

The project was designed to: *(provide a brief introduction to the project including project goal, objective and key outcomes, its location, timeframe, the justification for the project, total budget and planned co-financing. Briefly describe the institutional arrangements of the project and any other relevant partners and stakeholders).*

**C. MTR Purpose**

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.

*(Expand on the above text to clearly explain why the MTR is being conducted, who will use or act on the MTR results and how they will use or act on the results. The MTR purpose should explain why the MTR is being conducted at this time and how the MTR fits within the Commissioning Unit’s evaluation plan.)*

**DUTIES AND RESPONSIBILITIES**

##### **D. MTR Approach & Methodology**

The MTR report 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 Social and Environmental Screening Procedure (SESP)), the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, 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 Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach[[15]](#footnote-15) ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.[[16]](#footnote-16) Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *(list*); 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 *(location),* including the following project sites *(list).*

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The MTR team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women’s empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report.

The final methodological approach including interview schedule, field visits and data to be used in the MTR should be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

*(Note: The TOR should retain enough flexibility for the MTR team to determine the best methods and tools for collecting and analysing data. For example, the TOR might suggest using questionnaires, field visits and interviews, but the evaluation team should be able to revise the approach in consultation with the evaluation manager and key stakeholders. These changes in approach should be agreed and reflected clearly in MTR Inception Report)*

The final MTR report must 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.

##### **E. 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.

1. **Project Strategy**

Project Design:

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

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.

1. **Progress Towards Results**

* Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in the *Guidance For Conducting Midterm Reviews of UNDP-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 the project objective and each outcome; make recommendations from the areas marked as “not on target to be achieved” (red).
* Compare and analyse the GEF Tracking Tool/Core Indicators 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.

1. **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.
* Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
* What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
* What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

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 by the Commissioning Unit and project team, 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?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Sources of Co-financing** | **Name of Co-financer** | **Type of Co-financing** | **Co-financing amount confirmed at CEO Endorsement (US$)** | **Actual Amount Contributed at stage of Midterm Review (US$)** | **Actual % of Expected Amount** |
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|  |  | **TOTAL** |  |  |  |

* Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes co-financing amounts by source as ‘investment mobilized’ or ‘recurrent expenditures’. (This template will be annexed as a separate file.

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?
* Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

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?
* How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women’s participation in the project. What can the project do to enhance its gender benefits?

Social and Environmental Standards (Safeguards)

* Validate the risks identified in the project’s most current SESP, and those risks’ ratings; are any revisions needed?
* Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
  + The project’s overall safeguards risk categorization.
  + The identified types of risks[[17]](#footnote-17) (in the SESP).
  + The individual risk ratings (in the SESP).
* Describe and assess progress made in the implementation of the project’s social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project’s design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP’s safeguards policy that was in effect at the time of the project’s approval.

Reporting

* Assess how adaptive management changes have been reported by the project management and shared with the Project oard.
* 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 & Knowledge Management

* 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.
* List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

1. **Sustainability**

* Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register 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 consultant/team will include a section in the MTR report for evidence-based **conclusions**, in light of the findings.

Additionally, the MTR consultant/team is expected to make **recommendations** to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. The MTR consultant/team should make no more than 15 recommendations total.

**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 the TOR Annexes for the Rating Table and ratings scales.

##### **F. Expected Outputs and Deliverables**

The MTR team shall prepare and submit:

* MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to the Commissioning Unit and project management. Completion date: (date)
* Presentation: MTR team presents initial findings to project management and the Commissioning Unit at the end of the MTR mission. Completion date: (date)
* Draft MTR Report: MTR team submits the draft full report with annexes within 3 weeks of the MTR mission. Completion date: (date)
* Final Report\*: MTR team submits the revised report with annexed and completed Audit Trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Completion date: (date)

\*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.

**G. Institutional Arrangements**

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project’s MTR is *(In the case of single-country projects, the Commissioning Unit is the UNDP Country Office. In the case of regional projects and jointly-implemented projects, typically the principal responsibility for managing this MTR resides with the country or agency or regional coordination body – please confirm with the RTA in the region – that is receiving the larger proportion of GEF financing. For global projects,**the Commissioning Unit can be the Vertical Fund Directorate in Nature, Climate and Energy or the lead 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.

**H. Duration of the Work**

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

* *(date):* Application closes
* *(date):* Selection of MTR Team
* *(date):* Prep the MTR Team (handover of project documents)
* *(dates) XX days (recommended 2-4):* Document review and preparing MTR Inception Report
* *(dates) XX days:* Finalization andValidation of MTR Inception Report- latest start of MTR mission
* *(dates) XX days (r: 7-15):* MTR mission: stakeholder meetings, interviews, field visits
* *(dates):* Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
* *(dates) XX days (r: 5-10):* Preparing draft report
* *(dates) XX days (r: 1-2):* Incorporating audit trail on draft report/Finalization of MTR report (note: accommodate time delay in dates for circulation and review of the draft report)
* *(dates):* Preparation & Issue of Management Response
* *(date):* (optional)Concluding Stakeholder Workshop (not mandatory for MTR team)
* *(date):* Expected date of full MTR completion

The date start of contract is (date).

**I. Duty Station**

Identify the consultant’s duty station/location for the contract duration, mentioning ALL possible locations of field works/duty travel in pursuit of other relevant activities, specially where traveling to locations at security Phase I or above will be required.

**Travel:**

* International travel will be required to (X country/countries) during the MTR mission;
* The BSAFE training course must be successfully completed prior to commencement of travel; Herewith is the link to access this training: [https://training.dss.un.org/courses/login/index.php](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Ftraining.dss.un.org%2Fcourses%2Flogin%2Findex.php&data=02%7C01%7Cmargarita.arguelles%40undp.org%7Cf844bcc8bed44b9d964e08d81439040f%7Cb3e5db5e2944483799f57488ace54319%7C0%7C0%7C637281583941862242&sdata=rxpJarejT1BkWC%2FDUq2F4MmAZf43mbRMl5fFqWWBTyY%3D&reserved=0) . These training modules at this secure internet site is accessible to Consultants, which allows for registration with private email.
* Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
* Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>
* All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

**REQUIRED SKILLS AND EXPERIENCE**

**J. Qualifications of the Successful Applicants**

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

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

Education

* A Master’s degree in (*fill in*), or other closely related field

Experience

* Recent experience with result-based management evaluation methodologies;
* Experience applying SMART targets and reconstructing or validating baseline scenarios;
* Competence in adaptive management, as applied to (*fill in GEF Focal Area*);
* Experience in evaluating projects;
* Experience working in (*region of project*);
* Experience in relevant technical areas for at least 10 years;
* Demonstrated understanding of issues related to gender and (*fill in GEF Focal Area*); experience in gender sensitive evaluation and analysis;
* Excellent communication skills;
* Demonstrable analytical skills;
* Project evaluation/review experiences within United Nations system will be considered an asset.

Language

* Fluency in written and spoken English.
* *Add language, if needed*

**K. Ethics**

The MTR team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’. The MTR team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR team must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

**L. Schedule of Payments**

* 20% payment upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit
* 40% payment upon satisfactory delivery of the draft MTR report to the Commissioning Unit
* 40% payment upon satisfactory delivery of the final MTR report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%

* The final MTR report includes all requirements outlined in the MTR TOR and is in accordance with the MTR guidance.
* The final MTR report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
* The Audit Trail includes responses to and justification for each comment listed.

**APPLICATION PROCESS**

*(Adjust this section if a vetted roster will be used)*

**M. Recommended Presentation of Offer**

1. **Letter of Confirmation of Interest and Availability** using the [template](https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx)[[18]](#footnote-18) provided by UNDP;
2. **CV** and a **Personal History Form** ([P11 form](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)[[19]](#footnote-19));
3. **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
4. **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_%20Individual%20Contract_Offerors%20Letter%20to%20UNDP%20Confirming%20Interest%20and%20Availability.docx&action=default). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (fill address) in a sealed envelope indicating the following reference “Consultant for (*project title*) Midterm Review” or by email at the following address ONLY: (fill email) This email address is being protected from spam bots, you need Javascript enabled to view it by ***(time and date).*** Incomplete applications will be excluded from further consideration.

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

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.

**O. Annexes to the MTR ToR**

Share ToR Annexes directly with short-listed candidates. Include *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* and other existing literature or documents that will help candidates gain a better understanding of the project situation and the work required.

Annexes include: (reference ToR Annexes in Annex 3 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*)

* List of documents to be reviewed by the MTR Team
* Guidelines on Contents for the Midterm Review Report
* Midterm Review Evaluative Matrix Template
* UNEG Code of Conduct for Evaluators/Midterm Review Consultants
* MTR Required Ratings Table and Ratings Scales
* MTR Report Clearance Form
* Audit Trail Template
* Progress Towards Results Matrix)
* GEF Co-Financing Template (in Word)

## Annexes to Midterm Review Terms of Reference

**For Standard Template 2**

* **ToR ANNEX A: List of Documents to be reviewed by the MTR Team**
* **ToR ANNEX B: Guidelines on Contents for the Midterm Review Report**[[20]](#footnote-20)
* **ToR ANNEX C: Midterm Review Evaluative Matrix Template**
* **ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants[[21]](#footnote-21)**
* **ToR ANNEX E: MTR Ratings and Achievements Summary Table and Rating Scales**
* **ToR ANNEX F: MTR Report Clearance Form**
* **ToR ANNEX G: Audit Trail Template**
* **ToR ANNEX H: Progress Towards Results Matrix**
* **ToR ANNEX I: GEF Co-Financing Template (provided as a separate file)**

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

*(The Commissioning Unit is responsible for compiling these documents prior to the recruitment of the MTR team so that they are available to the team immediately after contract signature.)*

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Social and Environmental Screening Procedure (SESP)
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/Core Indicators 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:

1. Project operational guidelines, manuals and systems
2. UNDP country/countries programme document(s)
3. Minutes of the (*Project Title*) Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
4. Project site location maps
5. Any additional documents, as relevant.

**ToR ANNEX B: Guidelines on Contents for the Midterm Review Report**[[22]](#footnote-22)

|  |  |  |  |
| --- | --- | --- | --- |
| **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 * Social and Environmental Standards (Safeguards) * Reporting * Communications & Knowledge Management | |
| **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.) or Core Indicators* * *Annexed in a separate file: GEF Co-financing template (categorizing co-financing amounts by source as ‘investment mobilized’ or ‘recurrent expenditure’)* | | |

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

*(Draft questions to be filled out by the Commissioning Unit with support from the Project Team)*

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.

|  |  |  |  |
| --- | --- | --- | --- |
| **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? To what extent has progress been made in the implementation of social and environmental management measures? Have there been changes to the overall project risk rating and/or the identified types of risks as outlined at the CEO Endorsement stage?** | | | |
|  |  |  |  |
|  |  |  |  |
| **Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?** | | | |
|  |  |  |  |
|  |  |  |  |

**ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants[[23]](#footnote-23)**

**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.
8. Must ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

**MTR Consultant Agreement Form**

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

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

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

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

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

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

**ToR ANNEX E: MTR Ratings & Achievement Summary Table + Rating Scales**

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

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

|  |  |  |
| --- | --- | --- |
| **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 and signed by the Commissioning Unit and RTA and included in the final document)*

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

**Commissioning Unit (M&E Focal Point)**

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

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

**Regional Technical Advisor (Nature, Climate and Energy)**

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 not by the person’s name, and track change comment number (“#” column):*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Author** | **#** | **Para No./ comment location** | **Comment/Feedback on the draft MTR report** | **MTR team**  **response and actions taken** |
|  |  |  |  |  |
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**ToR ANNEX H: Progress Towards Results Matrix**

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

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Strategy** | **Indicator[[24]](#footnote-24)** | **Baseline Level[[25]](#footnote-25)** | **Level in 1st PIR (self- reported)** | **Midterm Target[[26]](#footnote-26)** | **End-of-project Target** | **Midterm Level & Assessment[[27]](#footnote-27)** | **Achievement Rating[[28]](#footnote-28)** | **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 |

**ToR ANNEX I: GEF Co-Financing Template (provided as a separate file)**

1. For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](http://www.undp.org/content/undp/en/home/librarypage/capacity-building/discussion-paper--innovations-in-monitoring---evaluating-results/), 05 Nov 2013. [↑](#footnote-ref-1)
2. Populate with data from the Logframe and scorecards [↑](#footnote-ref-2)
3. Populate with data from the Project Document [↑](#footnote-ref-3)
4. If available [↑](#footnote-ref-4)
5. Colour code this column only [↑](#footnote-ref-5)
6. Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU [↑](#footnote-ref-6)
7. Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF’s “types of risks and potential impacts”: Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security. [↑](#footnote-ref-7)
8. The Commissioning Unit is obligated to issue payments to the MTR team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the MTR team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit’s senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

   <https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default> [↑](#footnote-ref-8)
9. Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: <https://popp.undp.org/SitePages/POPPRoot.aspx> [↑](#footnote-ref-9)
10. <https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx> [↑](#footnote-ref-10)
11. <http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc> [↑](#footnote-ref-11)
12. The Report length should not exceed *40* pages in total (not including annexes). [↑](#footnote-ref-12)
13. <http://www.unevaluation.org/document/detail/100> [↑](#footnote-ref-13)
14. <https://jobs.undp.org/> [↑](#footnote-ref-14)
15. For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](http://www.undp.org/content/undp/en/home/librarypage/capacity-building/discussion-paper--innovations-in-monitoring---evaluating-results/), 05 Nov 2013. [↑](#footnote-ref-15)
16. For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](http://www.undg.org/docs/11653/UNDP-PME-Handbook-(2009).pdf), Chapter 3, pg. 93. [↑](#footnote-ref-16)
17. Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF’s “types of risks and potential impacts”: Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security. [↑](#footnote-ref-17)
18. <https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx> [↑](#footnote-ref-18)
19. <http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc> [↑](#footnote-ref-19)
20. The Report length should not exceed *40* pages in total (not including annexes). [↑](#footnote-ref-20)
21. <http://www.unevaluation.org/document/detail/100> [↑](#footnote-ref-21)
22. The Report length should not exceed *40* pages in total (not including annexes). [↑](#footnote-ref-22)
23. <http://www.unevaluation.org/document/detail/100> [↑](#footnote-ref-23)
24. Populate with data from the Logframe and scorecards [↑](#footnote-ref-24)
25. Populate with data from the Project Document [↑](#footnote-ref-25)
26. If available [↑](#footnote-ref-26)
27. Colour code this column only [↑](#footnote-ref-27)
28. Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU [↑](#footnote-ref-28)