



# TERMS OF REFERENCE

## *Project Mid-term Evaluation*

**Position:** 01 international consultant and 01 national consultant to conduct a mid-term evaluation of the **project Mainstreaming Natural Resource Management and Biodiversity Conservation Objectives into Socio-Economic Development Planning and Management of Biosphere Reserve in Vietnam (PIMS#5659)**

**Duty Station:** Home base, Hanoi and travel to provinces<sup>1</sup>

**Type of appointment:** Individual contract

**Duration:** Nov 2021 – Jan 2022

**Standard Template 1: Formatted for attachment to [UNDP Procurement Website](#)**

*This is an adjusted standard terms of reference for Mid-Term Reviews of UNDP-supported GEF/LDCF/SCCF-financed projects taking into account the impact of COVID-19 on evaluations, including consideration for COVID-19 situation assessment within countries, impact and restrictions on evaluations, alternative approaches, methodologies and considerations to mitigate the impact of COVID-19 on evaluations. Underlying this guidance is a principle of “do no harm”, and a consideration that the safety of staff, consultants, stakeholders and communities is paramount and the primary concern of all when planning and implementing evaluations during the COVID-19 crisis.*

## 1. INTRODUCTION

This is the Terms of Reference (ToR) for -the Midterm Review (MTR) of the full -sized UNDP-supported GEF-financed project titled Mainstreaming Natural Resource Management and Biodiversity Conservation Objectives into Socio-Economic Development Planning and Management of Biosphere Reserve in Vietnam (PIMS#5659), hereinafter called “BR Project”, implemented through the Ministry of Natural Resources and Environment (MONRE), which is to be undertaken in 2021. The project started on 6 February 2020 and is in its second 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](#).

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<sup>1</sup> International and domestic travels will be determined subject to the impact of COVID-19

## 2. PROJECT BACKGROUND INFORMATION

The project was designed to address consequential threats to biodiversity and ecosystem services caused by the rapid development of new infrastructure, expansion of transportation networks, tourism and socio-economic growth. To achieve this, the project deploys an integrated landscape approach in the planning and management of Biosphere Reserves in Vietnam by harmonizing socio-economic development, sustainable management of natural resources, and biodiversity conservation. The project's key interventions include to strengthen capacities and coordinated planning at the national and provincial levels for socio-economic development and for demonstrating sustainable natural resources management, biodiversity conservation and restoration, and alternative livelihood initiatives at the three project Biosphere Reserve sites.

The Project Objective is to **“To effectively mainstream biodiversity conservation and natural resources management objectives into governance, planning and management of socio-economic development and tourism in Biosphere Reserves”**. This will be achieved through the implementation of three inter-related and mutually complementary components (Project Outcomes) that are focused to address existing barriers. The three Project Outcomes are:

- Outcome 1: Regulatory and institutional framework to avoid, reduce, mitigate and offset adverse impacts on biodiversity and reduced pressures on ecosystems in Biosphere Reserves in place.
- Outcome 2: Integrated multi sector and multi-stakeholder planning and management operational in three Biosphere Reserves to mainstream protected area management, sustainable resource use and biodiversity-friendly development.
- Outcome 3: Knowledge management and monitoring and evaluation support contributes to equitable gender benefits and increased awareness of biodiversity conservation.

The BR Project is within the GEF Focal Areas of Land degradation and Biodiversity. It will contribute to the following Sustainable Development Goals: Strategic Goal C – To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity, and Target 12 – By 2020, the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has improved and sustained. GEF funding to BR Project is of US\$ 6,660,000 and with the planned co-financing of US\$ 36,538,222 the total project budget is of US\$ 43,198,222. The project is executed under UNDP's National Implementation (NIM) Modality (i.e. national execution), with MONRE acting as the Implementing Partner (IP). At site level, three project locations have been selected based on their biological importance to demonstrate the conservation of biodiversity and enhancement of ecosystem services, with three Project Implementation Teams (PITs): (i) Cu Lao Cham - Hoi An Biosphere Reserve; (ii) Western Nghe An Biosphere Reserve; and (iii) Dong Nai Biosphere Reserve. At national level, the Implementing Partner assigns the Vietnam Environment Administration (VEA) under MONRE to be the project owner. The Project Management Board established by VEA and three Co-implementing Partners, including three PITs (Cu Lao Cham – Hoi An Biosphere Reserve, Dong Nai Biosphere Reserve, and Western Nghe An Biosphere Reserve) are responsible for project implementation from 06 February 2020 to 06 February 2025.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to Vietnam has been restricted since 01 April 2020; travel within the country has been also restricted. As of the time of writing (30 June 2021), Vietnam confirms 16,623 total cases of COVID-19, with 9,698 cases being treated, and 6,840 cases having recovered discharged from hospitals. To 30 June 2021 Vietnam also recorded 81 deaths due to the pandemic. The latest community transmission cases have been reported from Bac Giang, Bac Ninh, Ho Chi Minh City, and Ha Tinh. Updated information can be found at <https://ncov.moh.gov.vn>.

### 3. MTR PURPOSE

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

The ProDoc was signed on 06 February 2020, followed by the three first waves of COVID-19 hitting Vietnam, which severely affected BR Project implementation for most of 2020 and 2021 (to the time of writing). The Inception Report to the project was completed in March 2021, after adjusting the document to adopt GEF Core Indicators for inclusion within its Project Results Framework. Despite the fact that the MTR timeline was extended to buffer the negative impact from COVID-19, by the time the MTR is scheduled to take place in August/ September 2021 it is likely that the majority of project activities will still be in the formulation and planning stages. With merely several months of effective implementation, it will be difficult to assess project effectiveness thus far. The MTR will therefore be an important mission to help analyze project targets and approaches, and to propose solutions, methods, and recommendations to ensure the attainment of project objectives by suggesting adaptive management responses to its thus far and planned implementation. The MTR will also fit into the UNDP CO's evaluation plan by drawing observations and recommendations to improve the efficiency, effectiveness, impact, and sustainability of project measures and to aid in the overall enhancement of the 2021-2026 UNDP Country Programme (CPD), and the One Strategic Plan 2021-2026 (OSP).

### 4. MTR APPROACH & METHODOLOGY

#### Approach

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<sup>2</sup> 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.<sup>3</sup> Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to the organizations listed below (List 1); 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 national evaluator may be required to conduct field missions to the three project sites: Cu Lao Cham – Hoi An Biosphere Reserve, Western Nghe An Biosphere Reserve, and Dong Nai Biosphere Reserve, in Quang Nam, Nghe An, and Dong Nai provinces.

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<sup>2</sup> For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

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

### **List 1: Stakeholders to be consulted/ interviewed:**

1. Project Management Board
2. Project Implementation Teams at three Biosphere Reserve sites
3. Biodiversity Conservation Agency (BCA)/Ministry of Natural Resources and Environment (MONRE)
4. Vietnam Forest Administration (VNFORD) and Directorate of Fisheries of the Ministry of Agriculture and Rural Development (MARD)
5. Ministry of Culture, Sport and Tourism (MOCST)
6. UNDP Vietnam Country Office, UNDP RBH (Bangkok), UNDP-GEF grant team
7. Viet Nam UNESCO National Man and Biosphere (MAB) committee
8. Provincial People's Committees (PPCs) of three Biosphere Reserve locations in the provinces of Nghe An, Quang Nam, and Dong Nai
9. Biosphere Reserve Management Boards of the three Biosphere Reserve pilots: Western Nghe An Biosphere Reserve, Cu Lao Cham-Hoi An Biosphere Reserve and Dong Nai biosphere reserve
10. Protected Area Management Boards and subordinate bodies in pilot Biosphere Reserves:
  - a- Western Nghe An (ie. Phu Mat National Park, Phu Hoat Nature Reserve, Phu Huong Nature Reserve);
  - b- Cu Lao Cham- Hoi An Biosphere Reserve (ie. Cu Lao Cham Marine Protected Area, Hoi An World Culture Heritage Site);
  - c- Dong Nai Biosphere Reserve (ie. Cat Tien National Park and Dong Nai Culture Nature Reserve)
11. Local communities in and around the three pilot Biosphere Reserves: Western Nghe An Biosphere Reserve, Cu Lao Cham-Hoi An Biosphere Reserve, and Dong Nai Biosphere Reserve, including Commune People Committees, and village communities and organizations.
12. Selected and relevant community-based organizations/mass organizations involved in project implementation.

### **Methodology**

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 Sustainable Development Goals (SDGs) are incorporated into the MTR report.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to Vietnam has been restricted since 01 April 2020 and travel within the country is also restricted. If it is not possible to travel to or within the country for the MTR mission then the MTR team should develop a methodology that takes this into account, for example to conduct some aspects of the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys, and evaluation questionnaires.

Direct one-one one consultations with key informants and stakeholders are likely to be limited, and therefore use of internet platforms such as Skype, Zoom, Teams and similar are recommended for some of the interviewing. But because not all stakeholders may have access to the internet, the use of questionnaires via paper formularies or even the use of mobile phones and messaging to deliver key questions may need to be used. If all or part of the MTR is to be carried out virtually then consideration should be taken for stakeholder availability, ability, or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many counterparts may be working from home.

The MTR team might suggest using other measures, but in all cases the final methodological approach including interview schedules, field visits, and data to be used in the MTR must be clearly outlined in the

MTR Inception Report and be fully discussed and agreed upon with the Commissioning Unit. 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.

The International Consultant (Team Leader) can work remotely as needed, with the National Consultant (Team Member) supporting in the field if it is safe for the latter to operate and travel. In any case, no stakeholder, consultant, or UNDP staff should be put in harm's way and safety is at all times the key priority.

## **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 program country, involvement of women's groups, engaging women in project activities) raised in the Project Document?
- Review any direct or indirect impact of COVID-19 to project implementation. What is the impact of this health risk towards project progress? Are there any grave implications towards achieving project outcomes?
- 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? Will the thus far impact of COVID-19 to the project hinder completion of outcomes within the set timeframe? If so, what are suggested measures?

- Examine if progress so far has led to, or could in the future catalyze 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.
- Examine the Results Framework stated METT scores for each of the Biosphere Reserve core protected areas, in particular to help determine the feasibility of stated METT score indicators at project end. If deemed needed, determine revised METT scores per protected area.

## 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'; color 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).
- In assessing project progress towards outcomes, recognition of the COVID-19 threat and impact to project progress for most of 2020 and half (to date) of 2021 should be recognized the impact of COVID-19 and clearly stated.

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

Project Strategy	Indicator <sup>4</sup>	Baseline Level <sup>5</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>6</sup>	End-of-project Target	Midterm Level & Assessment <sup>7</sup>	Achievement Rating <sup>8</sup>	Justification for Rating
<b>Objective:</b>	Indicator (if applicable):							
<b>Outcome 1:</b>	Indicator 1:							
	Indicator 2:							
<b>Outcome 2:</b>	Indicator 3:							
	Indicator 4:							
	Etc.							
<b>Etc.</b>								

### Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyze 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, inclusive of possible barriers brought forth by the COVID-19 all around health risk.

<sup>4</sup> Populate with data from the Logframe and scorecards

<sup>5</sup> Populate with data from the Project Document

<sup>6</sup> If available

<sup>7</sup> Colour code this column only

<sup>8</sup> Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- 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<sup>9</sup>

#### 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

<sup>9</sup> For all of the below, determine whether the health risk and impact brought in by COVID-19 will bring direct impact

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
		<b>TOTAL</b>			

- 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<sup>10</sup> (in the SESP).

<sup>10</sup> 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



- 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:

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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.

- 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.

Given the impact of COVID-19 to the thus far implementation of project activities, the MTR team is expected to provide concrete recommendations regarding project deliverables, outcomes, and indicators in terms of measures taken to mitigate impact to the project, beneficiaries, and personnel and regarding measures to be taken to ensure successful delivery of sought project outcomes.

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 (see below) 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 'Mainstreaming Natural Resource Management and Biodiversity Conservation Objectives into Socio-Economic Development Planning and Management of Biosphere Reserve in Vietnam'**

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.	
<b>Project Implementation &amp; Adaptive Management</b>	(rate 6 pt. scale)	
<b>Sustainability</b>	(rate 4 pt. scale)	

## 6. TIMEFRAME, DUTY STATION AND EXPECTED PLACES OF TRAVEL

**Duty station:** Home based, ~~and Hanoi, Nghe An and Quang Nam with in-country travel. In case of in-country travel (if required) for National Team Expert, local travel cost shall be covered by the project management unit or UNDP based on UNDP policy or UN-EU cost norm~~ The travel plan is detailed below.

<u>No.</u>	<u>Destination</u>	<u>Duration</u>	<u>Timeframe</u>	<u>Means of transport</u>	<u>Working contents</u>
<u>1</u>	<u>Nghe An</u>	<u>4 days</u>	<u>During November/December</u>	<u>Road</u>	<u>Working with the project implementation team-PIT (Vinh City); MB of Western Nghe An BR; with MB of Pu Mat NP, Forest Protection Division of Con Cuong, MB of protection forest Con Cuông; stakeholders in Con Cuong, Quy Hop, Que Phong districts and others as needed.</u>
<u>2</u>	<u>Quang Nam</u>	<u>4 days</u>	<u>During November/December</u>	<u>Air, Road</u>	<u>Working with the project implementation team-PIT (Tam Ky City, Quang Nam Province); MB of Cu Lao Cham – Hoi An BR (Tam Kỳ City, Quang Nam Province); other stakeholders at the province and others as needed.</u>

**Duration and Timing:** Estimated 30 working days for an international consultant and 30 working days for a national team expert during November 2021 – Jan 2022.

The total duration of the MTR is over 12 weeks—including MTR Mission and MTR report writing and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

ACTIVITY	NUMBER OF WORKING DAYS	COMPLETION DATE
Document review and preparing MTR Inception Report (MTR Inception Report due no later than 2 weeks before the MTR mission)	3 days	15 Nov. 2021
MTR mission: stakeholder meetings, interviews, field visits (Note:	10 days	<del>22-12 Dec.</del> Nov. 2021
Presentation of initial findings- last day of the MTR mission	1 day	<del>10-15</del> Dec. 2021
Preparing draft report (due within 3 weeks of the MTR mission)	10 days	25 Dec. 2021
Finalization of MTR report/ Incorporating audit trail from feedback on draft report (due within 1 week of receiving UNDP comments on the draft)	6 days	15 Jan. 2022

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

## 7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	<b>MTR Inception Report</b>	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission <i>Date: 15 Nov. 2021</i>	MTR team submits to the Commissioning Unit (UNDP/GEF) <sup>11</sup> and Project Management Unit (VEA/MONRE)
2	<b>Presentation</b>	Initial Findings	End of MTR mission <i>Date: <del>10-15</del> Dec. 2021</i>	MTR Team presents to project management and the Commissioning Unit
3	<b>Draft MTR Report</b>	Full draft report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission <i>Date: 25 Dec. 2021</i>	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	<b>Final Report*</b>	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 <i>Date: 15 Jan. 2022</i>	Sent to the Commissioning Unit

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

## 8. MTR ARRANGEMENTS

<sup>11</sup> It must be noted that all MTR deliverables should be consulted with UNDP Vietnam and the Project Management Unit (PMU) before reviewed by UNDP Regional Technical Advisor.

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP Vietnam 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. The Commissioning Unit and Project Team will facilitate and provide all the support that is required to carry out the MTR mission remotely/ virtually as needed in the event of travel restriction to the country.

## 9. TEAM COMPOSITION

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 National Expert from Vietnam. 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 Team Leader will be responsible for the overall MTR implementation design, suggesting MTR timeline reviews as deemed needed, guiding the process of stakeholder interviews, writing of the MTR Inception Report and finalization of the MTR report. The Team Leader will need to operate remotely, given the present COVID-19 health risks and travel restrictions to and within Vietnam. The Team Leader will work on MTR needed items directly with the national Team Expert. The National Team Expert will follow the guidance of the Team Leader, and support the Team Leader in drafting and finalizing the MTR report. The National Team Expert will work with the Project Team in developing the MTR itinerary, support the Project Team in organizing field missions and otherwise virtual discussions as needed, help with the identification of stakeholders by UNDP and the PMU, and participate in bilateral and group consultations with the stakeholders, and support in preparation of the workshop to share preliminary MTR mission findings. Technical inputs by the National Team Expert should include aspects related to the assessment of emerging trends with respect to regulatory framework, budget allocations, capacity building, and other governance-type items related to the project.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

### **A. International Consultant (Team Leader)**

#### **Profile**

##### Education

- As a minimum, a Master of Science degree in Natural Sciences, Environment Management, Environmental Studies, Natural Resources, or other closely related fields

##### Experience

- Minimum of ten (10) years accumulated and recognized experience in the implementation and/ or assessment of projects related to biodiversity and conservation governance, protected areas and links (integration with) to sustainable livelihoods. Work experience in the Asia-Pacific region is required, experience in Vietnam of similar nature to the project is highly desirable.
- Minimum of eight (8) years' experience in project evaluation and/or implementation experience with result-based management frameworks and result-based management evaluation methods, experience in the application of SMART indicators and in the reconstruction and/ or validation of baseline scenarios.
- Experience in relevant technical areas of at least ten (10) years; competence in adaptive management as applied to biodiversity conservation; demonstrated understanding of issues related to gender and

biodiversity; experience in gender sensitive evaluation and analysis; excellent communication skills; demonstrable analytical skills.

- Experience in working remotely on technical matters, preferably on conducting assessments and evaluations away from field sites and though on-the-ground counterparts.
- Project evaluation/review experiences within United Nations system will be considered an asset.
- Experience with implementing evaluations remotely will be considered an asset.

#### Language

- Fluency in written and spoken English (International consultant)

## **B. National Consultant (Team Expert)**

### **Profile**

#### Education

- A minimum Master's degree in Natural Sciences, Environment Management, Environmental Studies, Natural Resources and/ or other closely related fields.

#### Experience

- Proven experience in the implementation and/ or assessment of projects related to biodiversity and conservation governance, protected areas and links (integration with) to sustainable livelihoods.
- Recent experience in supporting project evaluation and/or implementation experience in result-based management frameworks and result-based management evaluation methodologies.
- Competence in adaptive management, as applied to biodiversity; demonstrated understanding of issues related to gender and biodiversity; experience in gender sensitive evaluation and analysis. Excellent communication skills; demonstrable analytical skills.
- Proven communication, facilitation, writing and evaluation skills, including conducting interviews, focus group discussions, desk research, qualitative and quantitative analysis.
- Able to work as a team member and under the guidance and direction of an international counterpart, providing guidance remotely.
- Project evaluation/review experiences within United Nations system will be considered an asset.
- Experience with implementing evaluations remotely will be considered an asset.

#### Language

- Fluency in written and spoken English and Vietnamese (National consultant)

## **SELECTION CRITERIA**

<b>INTERNATIONAL CONSULTANT</b>		
<b>No.</b>	<b>Criteria</b>	<b>Score</b>
1	Minimum 10 years of experience with results-based management evaluation methodologies;	100
2	Experience applying SMART indicators and reconstructing or validating baseline scenarios;	100
3	Competence in adaptive management, as applied to biodiversity;	50
4	Minimum 8 years of experience in conducting evaluation of development projects supported by UNDP/UN agencies, GEF or any donors	200
5	Experience working in Asia Pacific Region;	50

6	Relevant professional experience in technical areas of biodiversity conservation, and other relevant areas such as biosphere reserves, protected areas, forest conservation, and gender issues for at least 10 years;	200
7	Demonstrated understanding of issues related to gender and biodiversity; experience in gender responsive evaluation and analysis;	100
8	Demonstrable analytical and report-writing skills (at least two reports in English relevant to technical areas must be provided). Experience with implementing evaluations remotely will be considered an asset.	100
9	Master's degree or higher in Environment, Natural Resources, and/or other closely related field;	100
<b>Total</b>		<b>1000</b>

<b>NATIONAL CONSULTANT</b>		
<b>No.</b>	<b>Criteria</b>	<b>Score</b>
1	Experience with implementation and/ or assessment of projects on biodiversity conservation, protected areas and links (integration with) to sustainable livelihoods.	150
2	Recent experience supporting project evaluation with result-based management frameworks and result-based management evaluation methodologies.	150
3	Relevant professional experience (at least 5 years) in technical aspects of biodiversity conservation, and other relevant areas such as biosphere reserves/ protected areas	300
4	Demonstrable analytical skills and report-writing skills in English and Vietnamese, (at least two reports in English must be provided).	200
5	Knowledge of UNDP or GEF Monitoring and Evaluation Policy will be considered an asset	100
6	Master's degree or higher in Natural Sciences, Environment Management, Environmental Studies Natural Resources and/ or other closely related fields.	100
<b>Total</b>		<b>1000</b>

## 10. 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.

## 11. PAYMENT SCHEDULE

Payments will be done upon completion of the deliverables/outputs and as per below percentages:

<b>% Payment</b>	<b>Deliverable Milestones</b>
20%	Upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit

40%	Upon satisfactory delivery of the draft MTR report to the Commissioning Unit
40%	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%<sup>12</sup>:

- 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.

Note: In line with the UNDP's financial regulations, when determined by the UNDP Vietnam and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the MTR, that deliverable or service will not be paid. Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

## 12. APPLICATION PROCESS<sup>13</sup>

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

#### Recommended Presentation of Proposal:

- Letter of Confirmation of Interest and Availability** using the [template](#)<sup>14</sup> provided by UNDP;
- CV and a Personal History Form** ([P11 form](#)<sup>15</sup>);
- 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)
- Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

<sup>12</sup> 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.

<sup>13</sup> Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: <https://info.undp.org/global/popp/Pages/default.aspx>

<sup>14</sup> <https://intranet.undp.org/unit/bom/psd/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

<sup>15</sup> [http://www.undp.org/content/dam/undp/library/corporate/Careers/P11\\_Personal\\_history\\_form.doc](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)



All application materials should be submitted to the address (fill address) in a sealed envelope indicating the following reference “Consultant for *(Mainstreaming Natural Resource Management and Biodiversity Conservation Objectives into Socio-Economic Development Planning and Management of Biosphere Reserve in Vietnam)* Midterm Review” or by email at the following address ONLY: (fill email) 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.

### **13. 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:

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

## 14. ToR ANNEX B: Guidelines on Contents for the Midterm Review Report<sup>16</sup>

- 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

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<sup>16</sup> The Report length should not exceed 40 pages in total (not including annexes).

- 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.) and GEF 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
<b>Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</b>			
(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.)
<b>Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			
<b>Impact of COVID-19: To what extent and how has the incidence of COVID-19 impacted project progress and deliveries? What are measures to be taken to help mitigate the impact of COVID-19 to successful delivery of project outcomes?</b>			
<b>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?</b>			
<b>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b>			

## ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants<sup>17</sup>

### 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: \_\_\_\_\_

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<sup>17</sup> <http://www.unevaluation.org/document/detail/100>

## ToR ANNEX E: MTR Ratings

<b>Ratings for Progress Towards Results: (one rating for each outcome and for the objective)</b>		
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.

<b>Ratings for Project Implementation &amp; Adaptive Management: (one overall rating)</b>		
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.

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

## ToR ANNEX F: MTR Report Clearance Form

*(to be completed by the Commissioning Unit and 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