**International Consultant to Conduct Midterm Evaluation of**

**UNDP’s global project on Support to REDD+ Implementation**

**Terms of Reference - Annexes**

**ANNEX A: List of Documents to be reviewed by the Midterm Evaluation Team**

1. UNDP Project Document – including results framework, UNDP Social & Environmental Screening results, risk matrix
2. Project-related work plans and budgets
3. Project quality assurance reports
4. Semi-annual and Annual Donor Reports associated with the project
5. Donor progress reviews associated with the project
6. Minutes of the Project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
7. *additional documents, as needed*

**ANNEX B: Key Stakeholders and Partners**

* Project Board members: e.g. Pradeep (chair), Norway, Italy, Gender Team, Climate Strategy Team, RTLs, GCP…
* Project Team, notably the Principal Policy & Technical Advisor, global advisors, some Regional Technical Advisors, and the leads for sources of funds
* Project Partners, including UN-REDD Secretariat, UNEP, FAO, AIPP, WOCAN, NYDF, Lavazza, ENI.
* Beneficiaries: Country Office Env focal points (eg. Ecuador, Ghana, Kenya, Indonesia)

**Annex C: UNDP Midterm Evaluation Inception Report Content (to use as guidance only)**

1. **Background and context,** illustrating the understanding of the project/ outcome to be evaluated.

2. **Evaluation objective, purpose and scope.** A clear statement of the objectives of the evaluation and the main aspects or elements of the initiative to be examined.

3. **Evaluation criteria and questions.** The criteria the evaluation will use to assess performance and rationale. The stakeholders to be met and interview questions should be included and agreed.

4. **Cross-cutting issues.** Provide details of how cross-cutting issues will be evaluated, considered and analysed throughout the evaluation. The description should specify how methods for data collection and analysis will integrate **gender considerations**, ensure that data collected is disaggregated by sex and other relevant categories, and employ a diverse range of data sources and processes to ensure the inclusion of diverse stakeholders, including the most vulnerable where appropriate.

6. **Evaluation approach and methodology,** highlighting the conceptual models to be adopted, and describing the data collection methods, sources and analytical approaches to be employed, including the rationale for their selection (how they will inform the evaluation) and their limitations; data-collection tools, instruments, and protocols; and discussing their reliability and validity for the evaluation and the sampling plan.

7. **Evaluation matrix,** identifying the key evaluation questions and how they will be answered through the selected methods.

8. A revised **schedule of key milestones**, deliverables and responsibilities, including the evaluation phases (data collection, data analysis and reporting).

9. Detailed **resource requirements,** tied to evaluation activities and deliverables detailed in the workplan. Include specific assistance required from UNDP, such as providing arrangements for visiting particular field offices or sites

10. **Outline of the draft/ final report** as detailed in the guidelines, and ensuring quality and usability.

**Annex D: UNDP Guidelines on Contents for the Midterm Evaluation Report**[[9]](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftn9)

|  |  |  |  |
| --- | --- | --- | --- |
| **i.** | **Basic Report Information *(for opening page or title page)***   * Title of UNDP-supported project * Time frame of the evaluation and date of the report. * Scope of the evaluation intervention (Global project, Regional Project, Countries) * Names and organizations of evaluators. * Name of the organization commissioning the evaluation. * 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) * Interim Evaluation Ratings & Achievement Summary Table * Concise summary of conclusions * Recommendation Summary Table | | |
| **2.** | **Introduction *(2-3 pages)***   * Purpose of the Interim Evaluation and objectives * Scope & Methodology: principles of design and execution of the Interim Evaluation, Interim Evaluation approach and data collection methods, limitations * Structure of the Interim Evaluation 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 Relevance, Coherence, and Effectiveness   * Development setting & relevancy * Project design & results framework * Project team capacity & coordination | |
| **4.2** | Project Efficiency, Impact, and Sustainability   * Timeliness and cost of results * Progress towards outcome/output analysis * Innovation and replication of interventions * Unexpected results, both positive and negative * Sustainability and risks | |
| **4.3** | **Social Inclusion and Gender Equality**   * Social Inclusion & human rights * Gender equality and women’s empowerment * Application of UNDP’s SES | |
| **5.** | **Conclusions (2-4 pages)**  Comprehensive and balanced statements (that are evidence-based and connected to the Interim Evaluation’s findings) which highlight the strengths, weaknesses and results of the project | |
| **6.** | | | **Recommendations (2 pages – max 15 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 | |
| **7.** | | | **Report Annexes**   * TOR for the evaluation. * evaluation matrix * List of individuals or groups interviewed or consulted * List of supporting documents ed * Project results framework * Summary tables of findings, such as tables displaying progress towards outputs, targets, and goals relative to established indicators. * Pledge of ethical conduct in evaluation signed by evaluators | |

**ToR ANNEX D: Midterm Evaluative Matrix Template**

This Midterm Evaluation Matrix must be fully completed, based on the Key Midterm Evaluation Questions outlined in the TOR, and included in the Inception Report and as an Annex to the Interim Evaluation report.

|  |  |  |  |
| --- | --- | --- | --- |
| **Evaluative Questions** | **Indicators** | **Sources** | **Methodology** |
| **Relevant Evaluation Criteria** | | | |
| (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 evaluation mission, etc.) | (i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.) |

**ToR ANNEX E: UNEG Code of Conduct for Evaluators/Interim Evaluation Consultants**[**[10]**](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftn10)

This evaluation will be conducted in accordance with the principles outlined in the UNEG ‘Ethical Guidelines for Evaluation’. The consultant 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 consultant must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses with the express authorization of UNDP and partners.

**ANNEX F - . Progress Towards Results Matrix**

Progress Towards Outcomes and Outputs Analysis:

* Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and 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). This matrix should included in the inception report and as an Annex to the final Midterm Evaluation Report.

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

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Strategy** | **Indicator**[**[2]**](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftn2) | **Baseline Level**[**[3]**](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftn3) | **Level in 1st PIR (self- reported)** | **Midterm Target**[**[4]**](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftn4) | **End-of-project Target** | **Midterm Level & Assessment**[**[5]**](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftn5) | **Achievement Rating**[**[6]**](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftn6) | **Justification for Rating** |
| **Fund Level Impact:** | Indicator: |  |  |  |  |  |  |  |
| **Outcome 1:** | Indicator: |  |  |  |  |  |  |  |
| Indicator: |  |  |  |  |  |
| **Output** | Indicator: |  |  |  |  |  |  |  |
| **Output** | Indicator: |  |  |  |  |  |  |  |
| **Outcome 2:** | Indicator: |  |  |  |  |  |  |  |
| Indicator: |  |  |  |  |  |
| **Output** | Indicator: |  |  |  |  |  |  |  |
| **Output** | Indicator: |  |  |  |  |  |  |  |
| **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 and outputs analysis:

* 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.

**ToR ANNEX G: Interim Evaluation Report Clearance Form**

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

**ToR ANNEX H: Audit Trail Template**

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

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

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Author** | **#** | **Para No./ comment location** | **Comment/Feedback on the draft report** | **Interim Evaluation team**  **response and actions taken** |
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[[1]](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftnref1) 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.

[[2]](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftnref2) Populate with data from the Logframe and scorecards

[[3]](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftnref3) Populate with data from the Project Document

[[4]](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftnref4) If available

[[5]](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftnref5) Colour code this column only

[[6]](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftnref6) Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

[[9]](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftnref9) The Report length should not exceed *20* pages in total (not including annexes). Analytical substance is preferable to lengthy descriptions.

[[10]](https://euc-word-edit.officeapps.live.com/we/wordeditorframe.aspx?new=1&ui=en%2DAU&rs=en%2DAU&wdenableroaming=1&mscc=1&hid=1BEBFD9F-001F-3000-2BCA-39C8F3AEC133&wopisrc=https%3A%2F%2Fundp.sharepoint.com%2Fsites%2Fun-redd%2F_vti_bin%2Fwopi.ashx%2Ffiles%2F7b37f7e4215a4e058a0f782ebfba08fd&wdorigin=DocLib&wdhostclicktime=1635518845143&jsapi=1&jsapiver=v1&newsession=1&corrid=4b367e5f-26d0-4548-b1aa-87d998f44a42&usid=4b367e5f-26d0-4548-b1aa-87d998f44a42&sftc=1&mtf=1&sfp=1&wdredirectionreason=Unified_SingleFlush&rct=Medium&ctp=LeastProtected#_ftnref10) <http://www.unevaluation.org/document/detail/100>