

# Mid-Term Review Terms of Reference

## 1. INTRODUCTION

This is the Terms of Reference (ToR) for the Midterm Review (MTR) of the *full*-sized UNDP-supported GEF-financed project titled *Developing Climate Resilient livelihoods in the Vulnerable Watershed in Nepal (DCRL)* (PIMS 5434) implemented through the *Department of Forests and Soil Conservation (DFSC), Ministry of Forests and Environment*, which is to be undertaken in 2022. The project started on 29 November 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 this TOR and in the document [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#).

## 2. PROJECT BACKGROUND INFORMATION

The Mid Mountain watersheds of Nepal are prone to multi-hazards (drought, landslides, and floods) and the impacts are magnifying due to its topographic settings, inappropriate anthropogenic activities, and adverse impacts of climate change. Climate change is intensifying the monsoon rainfall and is causing accelerated snow and glacial melt rates. The disastrous trends are increasing and contributing to more multi-hazard problems causing damages to agricultural land, physical assets, economic properties, and ecosystem services.

At the other extreme, water scarcity and climate-induced drought hazards have been emerging as one of the major challenges in the mid-hill watersheds in Nepal. The drought stresses in combination with other hazards and socio-economic conditions of local communities, the problem is exacerbating and making society more vulnerable, and sometimes becoming environmental causes of displacement. The temporal and spatial variability of rainfall and runoff is intensifying the problem of excess water during the monsoon and water scarcity during the dry season creating a serious threat to the farming system, and food security.

A long-term solution to this climate change problem is to rehabilitate and maintain the functional integrity of watersheds that have critical functions of water storage and release, infiltration, drainage control with due emphasis on resilient livelihood development. Nepal is transferred into the federal system and the constitution of Nepal is giving the roles and responsibilities among three spheres of government for managing the natural resources, disaster risk, and climate change issues. The coordination and harmonization of policy and institutional frame, adoption of adaptive innovative technology, and building community stewardship are becoming critically important to address these multifaceted problems. To address this, a pioneering initiative is taken through Global Environment Facility (GEF)-Least Developed Country Fund (LDCF) project “Developing climate-resilient livelihoods in the vulnerable watershed in Nepal”. The project is being implemented at the pilot scale in the Lower Dudhkoshi watershed, a major tributary of the Sunkoshi sub-basin, located in the eastern part of Nepal.

**Project Objective:** This project focuses on safeguarding vulnerable communities and their assets from climate change-induced disasters by applying a long-term, multi-hazard approach – with a particular stewardship role for women and marginalized communities. The project also aims to address the functional integrity of the pilot watershed through capturing the policy, institutional knowledge gaps, adoption of new tools and techniques, and interventions of multiple activities at the pilot scale.

**Project Working Area:** The project area is the confluence of Dudhkoshi and Sunkoshi at the boundary between Khotang and Okhaldhunga districts in the eastern part of the country in province 1. The project will focus on activities in the Lower Dudhkoshi watershed that comprises 844 km<sup>2</sup>, 8 local government units “palikas” (5 at Khotang and 3 at Okhaldhunga), and 51 wards. The other adjoining watersheds Molung, Likhu, Sunkoshi canyon are being considered for watershed assessment.

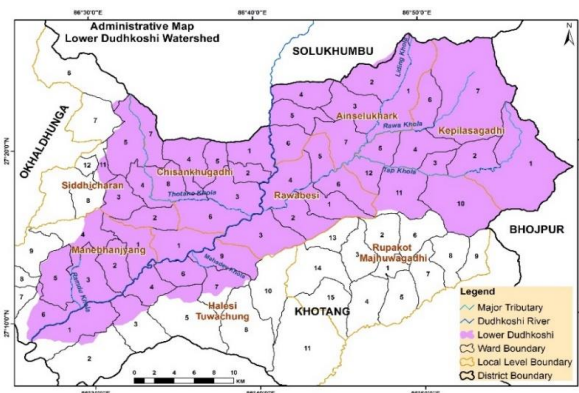


Figure: The project area (Lower Dudhkoshi watershed)

**Project Outcomes:** The DCRL project has two outcomes;

**Outcome 1:** Integrated watershed management framework has been established to address climate change-induced floods and droughts. Under this outcome; four outputs results are envisioned as follows;

Output 1.1: Watershed condition assessments updated, and hydrometeorological hazard, risk, vulnerability, and socio-economic model of climate change impacts delivered to underpin watershed management decisions across the sectors.

Output 1.2: Climate change risks addressed in watershed rehabilitation and management framework.

Output 1.3: Specialized technical training and technology delivered

Output 1.4: Enforcement mechanisms for watershed management and land policies embedding climate change considerations, including legal incentives to enable PES.

**Outcome 2:** Integrated watershed management practices introduced and scaled up in 1 watershed covering 844 km<sup>2</sup> (84,400 ha) of watershed areas and benefiting 121,606 vulnerable people.

Output 2.1: Based on risk and vulnerability assessments, integrated, adaptive sub-watershed management plans developed for four target sub watersheds to guide investments.

Output 2.2: Water and drainage control measures implemented at the sub-catchment level, including water retention structures and catchment ponds with groundwater recharge, controlled drainage, and with maintenance systems established.

Output 2.3: Watershed rehabilitation, Conservation farming, and integrated agroforestry practices introduced interspersed with fodder and controlled fuelwood production (including efficient stoves) with the active involvement of women.

Output 2.4: Community stewardship programmes established and implemented within the selected sub-watersheds with a focus on women and marginal communities.

Output 2.5: Knowledge management and learning.

**Timeframe:** The project start day is 1 December 2020 and the end date is 30 November 2024.

**Budget and Co-financing:** The total budget of the project is 42,793,000 USD including parallel co-financing. The details of the budget are tabulated as follows;

Fund Source	Budget (USD)
GEF LDCF	7,000,000
UNDP TRAC Resources	900,000
<b>Total budget Administered by UNDP (A)</b>	<b>7,900,000</b>
<b>Government Co-financing (B)</b>	<b>34,893,000</b>
<b>Grand-Total (A+B)</b>	<b>42,793,000</b>

**Institutional Arrangement:** The implementing partner for this project is the Department of Forests and Soil Conservation (DFSC) under the Ministry of Forests and Environment of the Government of Nepal. The project has devised a multi-layered engagement mechanism for ensuring quality implementation, monitoring, and reporting of the results in close collaboration with government agencies and other stakeholder at all levels.

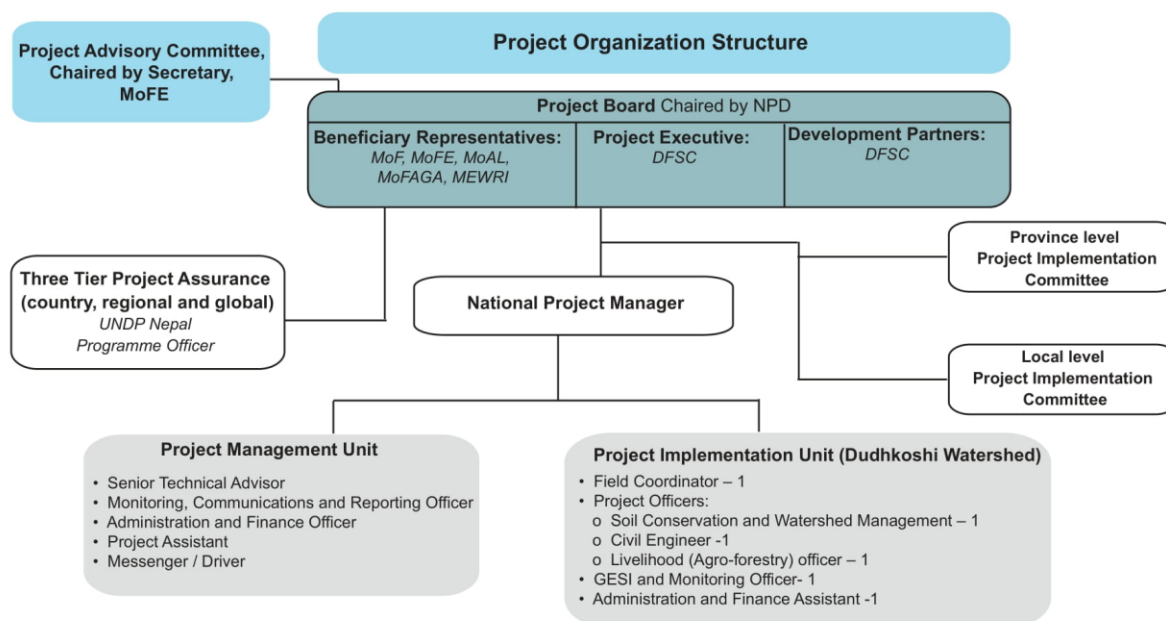
At the federal level, an inter-ministerial Project Advisory Committee (PAC) has been established under the leadership of the Secretary of MoFE. The Project Executive Board (PEB) is formed under the leadership of the Joint Secretary of DFSC/ MoFE with other members from relevant government agencies and other institutions.

At the Provincial level, the inter-ministerial Project Coordination Committee (PCC) is formed under the leadership the of Province Secretary of the Ministry of Forests, Environment and Soil Conservation of Province-1. At the local level, eight Local Level Implementation Committee (LLIC) are formed under the leadership of Mayors or Chairpersons of concerned Urban or Rural municipalities respectively.

To ensure effective coordination among the stakeholders, the project organizes regular meetings of PAC, PEB, PCC, and LLIC in line with the stakeholder's engagement plan.

UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. UNDP is responsible for delivering GEF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation. UNDP is also responsible for the Project Assurance role of the Project Board/Steering Committee.

The project organizational structure is as follows;



**Project organizational structure of DCRL project**

### 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.

The MTR will take stock of the DCRL project achievement over the two-year period from 29 November 2020 to 30 November 2022, which marks the mid-term of the four-year project. The MTR will review activities, result indicators as per Project Result Framework (PRF), and analyze the extent to which the project is oriented towards attaining targeted outcomes. The findings of the MTR will guide the project for improving the project performance and results as per the PRF.

### 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.<sup>1</sup> 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. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to the Ministry of Forests and Environment, Department of Forests and Soil Conservation, watershed and landslide management division, Department of Hydrology and Meteorology, River Basin office, Ministry of Forests, Environment and Soil Conservation, Province-1, Soil and Watershed Management Office, Division Forest Offices, Urban and Rural Municipalities, ward offices, user committees, United Nations Development Programme (UNDP); 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 project-working municipalities of Khotang and Okhaldhunga districts of Province-1, including the project sites.

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 the 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.

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<sup>1</sup> These documents will be made available by UNDP

<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.

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

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 [\*Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects\*](#)<sup>3</sup> 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.

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<sup>3</sup> [http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf)

## 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 [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 <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
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

### Indicator Assessment Key

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

- 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?

<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



#### 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
Donor Agency	UNDP	Grants	900,000	250,117	28
Recipient Government	Ministry of Forests and Environment (MoFE)	Grants	7,923,000	0	
Recipient Government	Department of Soil Conservation and Watershed Management (DSCWM)	Grants	7,700,000	0	
Recipient Government	Department of Hydrology & Meteorology (DHM)	Grants	13,560,000	0	
Recipient Government	Department of Agriculture (for Khotang and Okhandhunga)	Grants	590,000		
Recipient Government	Prime Minister Agriculture Modernization Project (for Khotang and Okhandhunga)	Grants	460,000	7,192	2

Recipient Government	Ainselukharka Rural Municipality (Khotang)	Grants	550,000	135,702	25
Recipient Government	Halesi Tuwaching Municipality (Ainselukharka, Khotang)	Grants	590,000	200,575	34
Recipient Government	Kepilasgadhi Rural Municipality (Baksila, Khotang)	Grants	520,000	151,875	29
Recipient Government	Rawa Besi Rural Municipality (Haramtar Kubhinde, Khotang)	Grants	550,000	219,593	40
Recipient Government	Diktel Rupakot Majhuwagadhi Municipality (Diktel, Khotang)	Grants	920,000	584,301	64
Recipient Government	Manebhanjhang Rural Municipality (Okhaldhunga)	Grants	390,000	93,333	24
Recipient Government	Siddihicharan Municipality (Okhaldhunga)	Grants	570,000	253,417	44
Recipient Government	Chisanlhugadhi Rural Municipality (Okhaldhunga)	Grants	570,000	87,792	15
TOTAL			35,793,000	1,983,897	

- Include the separate the [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>9</sup> (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?)

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<sup>9</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 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.

- 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 and Lessons Learned**

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.

The MTR will also include a separate section with a concise and logically articulated set of lessons learned (new knowledge gained from the project, context, outcomes, even evaluation methods; failures/lost opportunities to date, what might have been done better or differently, etc.). Lessons should be based on

specific evidence presented in the report and can be used to inform design, adapt and change plans and actions, as appropriate, and plan for scaling up.

The MTR report's findings, conclusions, recommendations and lessons learned need to consider gender equality and women's empowerment and other cross-cutting issues.

## Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in an *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 (*Developing Climate Resilient Livelihoods in the Vulnerable Watershed in Nepal*)**

Measure	MTR Rating	Achievement Description
<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 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

The total duration of the MTR will be approximately 30 working days over a time period of 8 weeks between Mid-September 2022 to November 2022 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)	4 days	(20 September 2022)
MTR mission: stakeholder meetings, interviews, field visits	12 days	(17 October 2022)
Presentation of initial findings- last day of the MTR mission	1 day	(20 October 2022)
Preparing draft report (due within 3 weeks of the MTR mission)	10 days	(1 November 2022)
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)	3 days	(15 November 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	20 September 2022	MTR team submits to the Commissioning Unit and project management
2	<b>Presentation</b>	Initial Findings	End of MTR mission 20 October 2022	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 By 1 November 2022	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	<b>Final Report* + Audit Trail</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 By 15 November 2022	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. The summary of the key MTR findings must be shared in the Nepali language.

## 8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP Country Office-Nepal.

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.

## 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 expert, usually from the country of the project. The team leader will lead the MTR task including the overall designing of the methodologies and approaches, coordination and management of the assignment with concerned stakeholders, writing the MTR report, etc. The team expert will technically assist the Team Leader, assess emerging trends with respect to project result frameworks, budget allocations, capacity building, work with the Project Team in developing the MTR itinerary, conducting field visits, ensuring technical components of the projects are well integrated into the MTR, coordination with the stakeholder as needed, etc.

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 the project's related activities.

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

#### Education

- A Master’s degree in Forestry, Environmental Science, Natural Resource Management, Climate Change, Watershed Management or other closely related field.

#### Experience

- Relevant experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to Climate Change and Land Degradation;
- Experience in evaluating projects;
- Experience working in Asia region preferably in Nepal;
- Experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender and Climate Change; 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.
- Fluency in written, and spoken Nepali (At least one member of the MTR team)

## **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**

- 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%<sup>10</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.

## 12. APPLICATION PROCESS<sup>11</sup>

### Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)<sup>12</sup> provided by UNDP;
- b) **CV and a Personal History Form** ([P11 form](#))<sup>13</sup>;
- c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (UNDP Nepal Country Office, Pulchowk, Kathmandu) in a sealed envelope indicating the following reference “Consultant for (Developing Climate Resilient Livelihoods in the Vulnerable Watershed in Nepal (DCRL) Midterm Review” or by email at the following address ONLY: (UNDP online submission) by **(29/08/2022)**. 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*

<sup>10</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. 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](https://popp.undp.org/layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default)

<sup>11</sup> Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: <https://popp.undp.org/SitePages/POPPRoot.aspx>

<sup>12</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>13</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)



*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 (*Result Tracker, Social and Environmental Safeguard Screening Template, Gender Action Plan etc.*)
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 (Developing Climate Resilient Livelihoods in the Vulnerable Watershed in Nepal (DCRL) Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
16. Project site location maps
17. Assessment and Study reports

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

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<sup>14</sup> The Report length should not exceed 40 pages in total (not including annexes).

- 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
- 5.3 Lessons Learned
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

This Midterm Review Evaluative Matrix must be 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.)
<ul style="list-style-type: none"> <li>• How relevant were the overall design and approaches of the project?</li> <li>• Have the ways of working with the partner and the support to the partner been effective and did they contribute to the project's achievements?</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent the project was able to address the needs and priorities of the target groups, watersheds, and communities?</li> </ul>	<ul style="list-style-type: none"> <li>• How relevant are the project interventions to support all the three spheres of government on watershed management policy support?</li> </ul>	
<b>Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			
<ul style="list-style-type: none"> <li>• To what extent did the intervention bring benefits to climate vulnerable people, ultra poor, women, and people from marginalized community, particularly Majhi and Dalits ?</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent were the output level results achieved and how did the project contribute to project outcomes? Does the project contribute to the outcome? Were there any unintended positive or negative results?</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent have issues of gender and marginalised groups been addressed in the design, implementation and monitoring of the project?</li> </ul>	<ul style="list-style-type: none"> <li>• How effective has the project been in responding to the needs of the beneficiaries, and what results were achieved?</li> </ul>
<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>			
<ul style="list-style-type: none"> <li>• How efficiently were the resources including</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent was the existing project</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent has the project implementation</li> </ul>	

human, material and financial resources used to achieve the results in a timely manner?	management structure appropriate and efficient in generating the expected results?	strategy and its execution been efficient and cost-effective?	
<b>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b>			
<ul style="list-style-type: none"> <li>What are the key factors that will require attention in order to improve prospects of sustainability of Project outcomes and the potential for replication of the approach?</li> </ul>	<ul style="list-style-type: none"> <li>To what extent are the benefits of the projects likely to be sustained after the completion of this project?</li> </ul>	<ul style="list-style-type: none"> <li>How were capacities strengthened at the individual and organizational level (including contributing factors and constraints)?</li> </ul>	<ul style="list-style-type: none"> <li>To what extent the social and environmental safeguard measures adopted in project implementation and how effective are they?</li> </ul>

**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>15</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 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