Terms of Reference for ICs and RLAs through /GPN ExpRes

Services/Work Description: Midterm Review (MTR) of the Integrated Water Resources Management of the Mira, Mataje and Carchi-Guáitara (IWRM-MMCG) Project

Project/Programme Title: IWRM-MMCG (PIMS 5753)

Consultancy Title: Independent consultancy for the Midterm Review (MTR) of the IWRM Mira, Mataje and Carchi-Guáitara project

Duty Station: Quito

Duration: 45 business days of effective work within a period of up to 75 calendar days

Expected start date: Jul 17, 2023

1. BACKGROUND

These are the terms of reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the Full-sized UNDP-supported GEF-financed project titled Integrated Water Resources Management of the Mira, Mataje and Carchi Guáitara, Colombia – Ecuador Binational Basins – IWRM-MMCG (PIMS 5753) implemented through the Ministry of Environment, Water and Ecological Transition of Ecuador (MAATE, for its acronym in Spanish) and the Ministry of Environment and Sustainable Development of Colombia (Minambiente, for its acronym in Spanish), which is to be undertaken in 2023. The project started on January 2021 (the project document was signed on September 28th, 2020 in Colombia, and on 8th January, 2021 in Ecuador), the project management unit (PMU) began operations in June 2021 with a 6-month delay and it is currently 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.

The Mira, Mataje and Carchi – Guáitara (Figure 1) are transboundary basins which are very valuable for Colombia and Ecuador. About 1.1 million persons live in this area. These basins sustain valuable biodiversity from two hotspots: tropical Andes and Tumbes-Choco-Magdalena, including high-value conservation species like the north shore marsupial frog (Gastrotheca espeletia), the yellow-eared parrot (Ognorhynchus icterotis) and the Andean bear (Tremarctos ornatus). Water resources and biodiversity are threatened by natural and anthropogenic pressures (e.g., land use change, pollution from untreated sewage). The area is also impacted by the expansion of illegal crops, drug processing and trafficking, and illegal armed groups. The condition of the three basins has deteriorated and there are evident symptoms of problems in several areas.

The IWRM-MMCG Project will focus on water governance which is one of the root causes of the present situation in the area. The core element of the proposed theory of change is that improved water governance (e.g., multi-level dialogue, watershed identity, empowered communities) will generate a range of improvements along the causal chain.

The project will be a catalyst for and contribute to: (i) building a common vision based on IWRM, (ii) establishing common planning to guide actions at the binational, national, and local levels, and (iii) mobilizing and involving key stakeholders for the integrated transboundary management. Below are the municipalities (Table 1) that are part of these basins in both countries:

Table 1. Municipalities part of the transboundary basins.

Transboundary basin	Country	Province / department	Number of municipalities	Municipalities

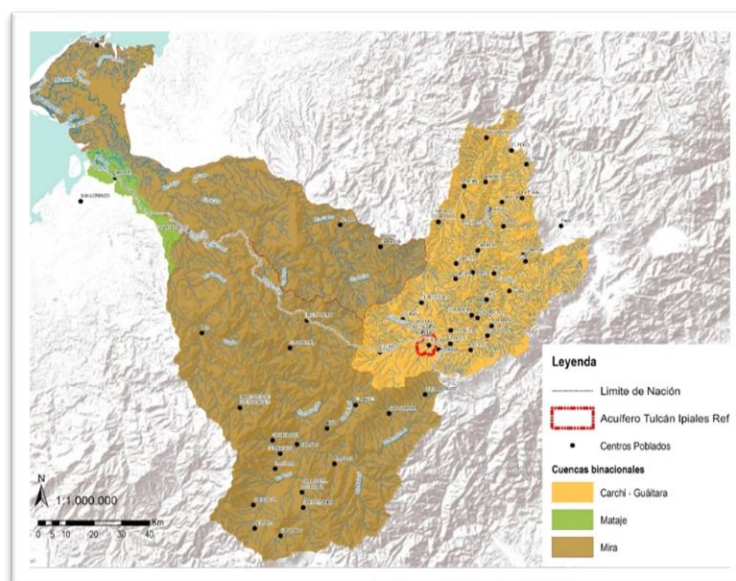|	Ecuador	Carchi	3	Tulcán, Espejo, Montúfar
Carchi - Guáitara	Colombia	Nariño	33	Aldana, Ancuya, Consacá, Contadero, Córdoba, Cuaspud, Cumbal, El Peñol, El Tambo, Funes, Guachucal, Guaitarilla, Gualmatán, Iles, Imues, Ipiales, La Florida, La Llanada, Linares, Los Andes, Ospina, Pasto, Potosí, Providencia, Puerres, Pupiales, Samaniego, Sandoná, Santa Cruz, Sapuyes, Tangua, Túquerres, Yacuanquer
Mira	Ecuador	Carchi	6	Tulcán, Bolívar, Espejo, Mira, Montúfar, San Pedro de Huaca
		Imbabura	6	Ibarra, Antonio Ante, Cotacachi, Otavalo, Pimampiro, San Miguel de Urcuquí
		Esmeraldas	1	San Lorenzo
	Colombia	Nariño	6	Barbacoas, Cumbal, Mallama, Ricaurte, Sapuyes, Tumaco
Mataje	Ecuador	Esmeraldas	1	San Lorenzo
	Colombia	Nariño	1	Tumaco

Figure 1: Mira, Mataje, Carchi-Guáitara Basins. Influence area of the MMCG Project.

The project will allocate GEF resources strategically in four components and five outcomes. In total six outputs will be generated (Table 2). The four components are:
- Component 1 will develop a participatory process to generate an integrated diagnosis on the current situation of the three transboundary basins (i.e., Transboundary Diagnostic Analysis).
- Component 2 will develop a participatory process to prepare a binding instrument with priority actions to advance IWRM (i.e., Strategic Action Programme).
- Component 3 will help to build human capital through training activities.

- Component 4 will focus on generating and sharing lessons and practical experience.

Table 2. Project outcomes and outputs

Outcomes	Outputs
Outcome 1. Priority transboundary issues affecting quality and quantity of water, its vulnerability to climate change and variability and barriers for IWRM, and their immediate and root causes, have been identified, including a governance and stakeholder analysis to further inform the SAP process.	1. Transboundary Diagnostic Analysis (TDA) on Mira, Mataje and Carchi-Guáitara basins, based on the secondary information and generation of primary information, including structural causes, future status and dynamics completed and validated.
Outcome 2. Priority actions required for achieving IWRM of the Mira, Mataje and Carchi-Guáitara basins identified and integrated to the binational, national and sub-national development plans in both countries.	2. Strategic Action Program (SAP) adopted by the two countries focused on priority actions (e.g., governance reforms, investments) to address the transboundary issues identified by the TDA.
Outcome 3. Improved individual and institutional capacities in both countries to apply IWRM in the binational basins.	3. Training of key national and subnational stakeholders in key aspects to apply IWRM (water governance and improved operation of water and irrigation boards).
Outcome 4.1. Integrated water resource management and sustainable land use reduce pollution, improve water use efficiency and protect/restore aquatic ecosystems in the Mira, Mataje and Carchi-Guáitara river basins and their aquifers.	4.1.1. Three small scale innovative interventions on IWRM to reduce pollution from domestic wastewater, facilitate hydrometeorological data sharing and reduce risk of climate-related landslides. 4.1.2. One pre-feasibility study to catalyse investments to improve the operation of rural water boards.
Outcome 4.2. Learning generated through replicable innovative interventions supports the SAP development and decision making.	4.2. Systematization of results, lessons and experience from the project and the innovative interventions in the Mira, Mataje and Carchi-Guáitara basins is available for relevant national and subnational stakeholders, as well as for other projects through participation in IW:LEARN.

The project began in 2021, on February 26, 2021, the inception workshop was held virtually, which is available at the following link: https://www.youtube.com/watch?v=58-deY374P4&t=238s at the YOUTUBE platform; and the project management unit began its work in June 2021. Complementary technical on-site meetings of the inception workshop were carried out on October 8, 2021 in San Juan de Pasto - Colombia and on October 15, 2021 in Ibarra - Ecuador.

The project is financed by the Global Environmental Facility (GEF) and implemented by the United Nations Development Program (UNDP). The institutions leading the project or implementing partners are the Ministry of Environment and Water and Ecological Transition (MAATE) in Ecuador and the Ministry of Environment and Sustainable Development (Minambiente) in Colombia.

The resources allocated to the project by GEF for Binational/Ecuador reach US $3,190,128; for Colombia reach US $659,872; counterpart/co-financing committed in the prodoc from Ecuador US $20,123,365 and counterpart from Colombia US $25,606,755; together with cash and in-kind counterpart resources, total US $45,730,120, to be expended until December 2024.

In the project document (p.71 Mandatory GEF monitoring and evaluation) requirements include inception workshop; inception report; standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP; risk management; monitoring of indicators in project results framework; GEF Project Implementation Report; lessons learned and knowledge generation; monitoring of environmental and social risks, and corresponding management plans as relevant; Stakeholder Engagement Plan; Gender Action Plan; Addressing environmental and social grievances; Project Board meetings; supervision missions; oversight missions; GEF Secretariat learning missions/site visits; mid-term update of GEF core indicators; Independent Mid-term Review (MTR) and management response; terminal update of GEF core indicators and an Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response.

Taking into consideration that the start operation date of the project was January 2021, and its end date is scheduled for December 2024. There was a 5-month delay from the signing of the project until the project PMU team begins its functions in June 2021. The mid-term evaluation is expected to take place in the first semester of 2023.

In this context, MAATE and Minambiente, with the support of UNDP as implementing agency of the GEF, require hiring a consultancy to perform the mid-term evaluation of the IWRM-MMCG project, from the beginning of the project (January 2021), until the mid-date of its execution.

Synoptic Table

Project Title:	IWRM Mira Mataje and Carchi Guáitara			
			at endorsement (Million US$)	At September 2020 (Million US s$)
GEF Project ID:	9566			
UNDP Project PIMS ID:	5753	GEF Financing:	3,850,000	491.581,53*
Country	Ecuador, Colombia	IA / AE own:		
Region:	Latin America	Government Ecuador: Government Colombia:	20,123,365 25,606,755	16.835.234* 6.529.266*
Focal Area:	Energy and Environment Management for Sustainable Development	Other:		
Operational Program:		Total co-financing:	45,730,120	23.364.500*
Implementing Agency:	PNUD	Total expenditure of the project:	49,580,120	23.856.082,30*
Other partners involved:	Altrópico, Corponariño, GAD Parroquial Angochagua, GAD Provincial de Carchi, GAD Provincial de Esmeraldas, GAD Provincial de Imbabura, GAD Parroquial Tufiño, Gobernación de Nariño, IDEAM, INAMHI, MAATE, Minambiente, GAD Cantonal de Ibarra, Municipio de Ipiales, GAD Cantonal San Lorenzo, GAD Cantonal Tulcán, Municipio Ricaurte, WWF Colombia.	Signature of the project document (start date of the project):	Minister of Environment Ecuador. January 8, 2021. Minister of Environment Colombia. September 28, 2020. UNDP Resident Representative Ecuador September 28, 2020.	

				UNDP Resident Representative Colombia September 28, 2020.	
FA Objectives (OS / SP):	The project will allocate GEF resources strategically to (1) develop a participatory process to generate an integrated diagnosis on the current situation of the transboundary basins (i.e., TDA) and a formal binding instrument adopted by both countries (i.e., SAP), (2) build human and social capital through training, and (3) implement some practical exercises to generate learning on key issues (inadequate wastewater treatment, climate-related landslides, and hydrometeorological data sharing).	**Closing date (operational):**		December, 2024	
* **Note**: These amounts will be updated at start-up of the MTE.					

2. SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED WORK

MTR PURPOSE

The MTR of the IWRM-MMCG Project is included in the "UNDP Country Office Evaluation Plan 2023-2026" and responds to the Outcome 2 of the Ecuador´s Country Program Document: "By 2026, the State and society have strengthened their capacities to move towards the ecological transition, and towards a sustainable, inclusive, decarbonized and resilient to the effects of climate change economy, conserving biodiversity, preventing land and ecosystem degradation", and the Colombia´s Country Program Document "By 2023, Technical Assistance for Sustainable Development Goals catalyst acceleration". This project will contribute to achieving the Output 3.3: Government institutions strengthen capacities and implement strategies to promote production, sustainable consumption, and preservation and sustainable use of natural resources.by strengthening water governance.

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

The MTR results will be reviewed with the main stakeholders: MAATE in Ecuador and Minambiente in Colombia. The final report and management responses will be reviewed and approved by the Steering Committee of the Project. The final recommendations of the MTR will be used for decision-making to verify if the project horizon is adequate or if it should be modified in its implementation. This analysis will be of vital importance for the implementing partners such as MAATE and Minambiente.

MTR APPROACH & METHODOLOGY

The MTR must provide evidence-based information that is credible, reliable and useful.

The MTR consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lessons learned reports, national strategic and legal documents, gender strategy, and any other materials that the IWRM-MMCG project team considers useful for this evidence-based review). The MTR consultant will review the baseline GEF focal area Core Indicators submitted to the responsible head at GEF at CEO endorsement, and the midterm GEF focal area Core Indicators that must be completed before the MTR field mission begins.

The MTR consultant is expected to follow a collaborative and participatory approach[1], ensuring close engagement with the project team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers (RTA), direct beneficiaries, and other key stakeholders.

Engagement of stakeholders[2] is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to:

In Ecuador with: MAATE, Altrópico, GAD Parroquial Angochagua, GAD Provincial de Carchi, GAD Provincial de Esmeraldas, GAD Provincial de Imbabura, INAMHI, GAD Cantonal de Ibarra, GAD Parroquial Tufiño, GAD Cantonal San Lorenzo, GAD Cantonal Tulcán; and in Colombia: Minambiente;, Corponariño, , Gobernación de Nariño, IDEAM, , Municipio de Ipiales, , Municipio Ricaurte, WWF Colombia; as well as other institutions, senior officials and managerial staff, technical and task team/component leaders, key experts and the consultants in the subject area, members of the project´s board of directors, academia, local governments and civil society organizations, etc.

Additionally, the MTR consultant is expected to conduct field missions and meetings with officials and/or technical/specialist teams according to the following table:

No.	Institution / stakeholder	Country	Duration of visit	City/Province	Interview/ Field visit
1	IWRM Mira, Mataje and Carchi Guáitara project team Ecuador	Ecuador	1 day	Quito - Pichincha	Interview
2	UNDP Ecuador*				Interview
3	MAATE**				Interview
4	GEF Operational focal point Ecuador**				Interview
5	Individual consultants or enterprises that provide consulting services to the project - Ecuador		1 day		Interview
6	Altrópico				Interview
7	INAMHI				Interview
8	GAD Parroquial Angochagua		2 days	Ibarra-Imbabura	Field visit/Interview
9	GAD Cantonal de Ibarra				Interview
10	GAD Provincial de Imbabura**				Interview
11	Gad Provincial de Carchi		1 day	Tulcán-Carchi	Interview
12	GAD Provincial de Tufiño				Field visit/Interview
13	GAD Cantonal Tulcán				Interview
14	GAD Provincial de Esmeraldas		2 days	Esmeraldas-Esmeraldas	Field visit***
15	GAD Cantonal de San Lorenzo			San Lorenzo-Esmeraldas	Field visit***
16	UNDP Colombia*	Colombia	2 days	Bogotá-Cundinamarca	Field visit
17	Ministry of Environment and Sustainable Development of Colombia (Minambiente)				Interview
18	GEF Operational focal point Colombia**				Interview
19	IDEAM				Interview
20	WWF Colombia				Interview
21	IWRM Mira, Mataje and Carchi Guáitara team Colombia		2 days	Pasto-Nariño	Interview

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[1] For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.
[2] For more stakeholder engagement in the M&E process, see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 3, pg. 93.

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22	Individual consultants or enterprises that provide consulting services to the project - Colombia				Interview
23	Corponariño**				Interview
24	Gobernación de Nariño				Interview
25	Municipio de Ipiales		3 days	Ipiales-Nariño	Interview
26	Municipio Ricaurte			Ricaurte-Nariño	Interview
27	RTA PNUD	Panama	Virtual meeting	Virtual meeting	Interview
		Total:	**14 days**		

 *The evaluator must meet before starting the mission with a high-level representative of UNDP and must interview very broad and
 strategic topics.
 ** Steering Committee Members
*** According to the conditions of the security zone, the interviews could be carried out virtually.

The specific design and methodology for the MTR should emerge from consultations between the MTR consultant 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 consultant must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report.

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

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 the approach of the review.

DETAILED SCOPE OF THE MTR

The MTR consultant will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* [3] 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 of achieving the project results as outlined in the Project Document (PRODOC).
- 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?

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[3] Available at:
https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&cad=rja&uact=8&ved=0ahUKEwiH5v6PhrjcAhUN7FMKHR FhBj8QFggmMAA&url=http%3A%2F%2Fweb.undp.org%2Fevaluation%2Fdocuments%2Fguidance%2FGEF%2Fmid-term%2FGuidance_Midterm%2520Review%2520_EN_2014.pdf&usg=AOvVaw2SqTXXf9AP4ytNKX8CfKrT

- 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 countries (Ecuador and Colombia)?
- 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 PRODOC?
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Log frame:

- Undertake a critical analysis of the project's log frame indicators and targets, assess how Specific, Measurable, Attainable, Relevant, Time-bound (SMART) the midterm and end-of-project targets are, 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 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.
- Evaluate the theory of change of the project, which allows to visualize the adaptive capacity of the program.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the log frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; 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). This information is available as Annex A.

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

Project Strategy	Indicator[4]	Baseline Level[5]	Level in 1st PIR (self-reported)	Midterm Target[6]	End-of-project Target	Midterm Level & Assessment[7]	Achievement Rating[8]	Justification for Rating
Objective:	Indicator (if applicable):							

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[4] Populate with data from the Logframe and scorecards
[5] Populate with data from the Project Document
[6] If available
[7] Colour code this column only
[8] Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

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

In addition to the progress towards outcomes analysis:
- Compare and analyze the GEF Core Indicators at the Baseline with the one completed right before the Midterm Review.
- Identify the 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 the overall effectiveness of project management as outlined in the PRODOC. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken on time? 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/ log frame as a management tool and review any changes made to it since the project started.

Finance and co-finance:
- Consider the financial management of the project with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?

- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly to align financing priorities and annual work plans?

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

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[9].

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 the 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)

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[9] Available at:
https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&cad=rja&uact=8&ved=0ahUKEwiH5v6PhrjcAhUN7FMKHRFhBj8QFggmMAA&url=http%3A%2F%2Fweb.undp.org%2Fevaluation%2Fdocuments%2Fguidance%2FGEF%2Fmid-term%2FGuidance_Midterm%2520Review%2520_EN_2014.pdf&usg=AOvVaw2SqTXXf9AP4ytNKX8CfKrT

- 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:
  o The project's overall safeguards risk categorization.
  o The identified types of risks[10] (in the SESP).
  o 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.

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 fulfill 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/QUANTUM Risk Management Module 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-

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[10] 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.

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 the 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 continually 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 the sustenance of project outcomes?

Conclusions & Recommendations

The MTR consultant will include a section in the MTR report for evidence-based conclusions, in light of the findings. [11]

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 consultant should make no more than 15 recommendations in total.

Ratings

The MTR consultant will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex F for rating scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table for IWRM MMCG

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)	

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[11] Alternatively, MTR conclusions may be integrated into the body of the report.

	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Outcome 4 Achievement Rating: (rate 6 pt. scale)	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

3. **Expected Outputs and deliverables**

TIMEFRAME

The total duration of the MTR will be 45 working days of effective work within a period of 75 calendar days, starting on the date of the contract signing, and shall not exceed five months from when the consultant is hired. The time that the reference group, composed by the project´s Steering Committee members, takes to review the reports/findings and other documentation is not taken into account in the total duration. The tentative MTR timeframe is as follows:

ACTIVITY	NUMBER OF WORKING DAYS	COMPLETION DATE**
Document review and preparing MTR Inception Report in Spanish (MTR Inception Report due no later than 2 weeks before the MTR mission)	*8 days*	*July 25, 2023*
MTR mission: stakeholder meetings, interviews, field visits	*14 days*	*July 31, 2023*
Presentation of initial findings in Spanish - last day of the MTR mission	*1 day*	*July 31, 2023*
Preparing draft report in Spanish (due within 3 weeks of the MTR mission)*	*7 days*	*August 07, 2023*
Finalization of MTR report/ Incorporating audit trail from feedback on draft report in Spanish (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)*	*5 days*	*August 12, 2023*
Final MTR report in Spanish and English version (this translation must be done once the final approved of Spanish version (due within 1 week of receiving UNDP comments on the draft)	*10 days*	*August 28, 2023*

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* This report should be reviewed by steering committee members, the RTA and in certain cases, the RR.
**These are tentative dates.

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

MIDTERM REVIEW DELIVERABLES

#	Deliverable	Content	Timing	Responsibilities
1	**MTR Inception Report**	Evaluator provides clarifications on timing and method, in Spanish	No later than 2 weeks before the evaluation mission.	Evaluator submits to the Commissioning Unit and project management.
2	**Presentation**	Initial Findings, in Spanish	End of MTR mission.	Evaluator presents to project management and the Commissioning Unit.
3	**Draft MTR Report**	Full draft report (using guidelines on content outlined in Annex B) with annexes in Spanish.	Within 2-3 weeks of the evaluation mission.	Evaluator sends to the Commissioning Unit, PSC, COs, reviewed by RTA, Project Coordinating Unit, GEF OFP.

4	**Final Report and Management Responses in Spanish and English ***	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report, as well as the Management Response matrix, indicating how the recommendations will be addressed.	Within 1 week of receiving UNDP comments on a draft	Evaluator sends to the Commissioning Unit.

*The final MTR report must be in English and Spanish.

4. Institutional arrangements/reporting lines

The MTR consultant 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.

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

The commissioning unit will contract the Consultant and ensure the timely provision of per diems and travel arrangements within the countries (Ecuador and Colombia) for the Consultant. The Project Team will be responsible for liaising with the Consultant to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

5. Experience and qualifications

I. Academic Qualifications:
- Master´s degree in environmental sciences, sanitary engineering, civil engineering, sociology, water resources management, or other closely related topics.
- Undergraduate degree in environmental sciences, sanitary engineering, civil engineering, sociology, water resources management, or similar fields.

II. Years of experience:
- Work experience in relevant technical areas (IWRM, transboundary basins, climate change, environmental management, biodiversity, sanitary engineering) of 10 years
- Experience in four (4) evaluations that follow result-based management methodologies, including SMART indicators and reconstruction or validating baseline scenarios.
- Experience in evaluating two (2) UNDP or GEF projects (mitigation/adaptation to climate change, biodiversity conservation, water resources, environmental management and/or resilience), either midterm or final reviews, in the last ten years.

III. Language:
- Fluency in written and spoken Spanish and English.

IV. Competencies:
- Competence in adaptive management, as applied to in hydrological ecosystems, basins, or international waters.
- Experience with indigenous populations will be an asset.
- Demonstrated understanding of issues related to gender and IWRM; experience in gender sensitive evaluation and analysis.
- Experience working in Ecuador and Colombia.
- Excellent communication skills.
- Demonstrated analytical skills.

6. **Payment Modality**

Payment will be made based on the presentation and approval of the products/deliverables of this consultancy. The products must be delivered, and payments made, according to the following table:

Products	Timing	Value
Product 1 MTR Inception Report in Spanish	8 days after contract signing	20%
Product 2 Draft MTR Report in Spanish	45 days after contract signing	40%
Product 3 Final MTR Report in English and Spanish approved by the SC and RTA and TE Audit Trail	75 days after contract signing	40%

Criteria for issuing the final payment of 40%:
- The final MTR report includes all requirements outlined in the MTR TOR and is in accordance with the MTR guidance.
- The final MTR report is clearly written, logically organized, and is specific for this project (i.e., text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

ToR ANNEX A: Table. Progress towards Results Matrix (Achievement of outcomes against End-of-project Targets)

This project will contribute to the following Sustainable Development Goal (s):	
SDG 6 Clean water and sanitation. Direct contribution to targets 6.5 and 6.B[1] and some contribution to target 6.3[2].	
SDG 14 Life below water. Some contribution to target 14.1[3].	
SDG 15 Life on land. Direct contribution to targets 15.1 and 15.9[4].	

This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:
Colombia. UNDAF 2015-2019. Outcome environmental sustainability. Colombia will have succeeded in increasing resilience and socio-environmental sustainability to address the effects of climate change, make sustainable use of natural resources and effectively manage disaster risks.
Ecuador. UNDAF 2019-2022. Outcome 2. By 2022, Ecuador has strengthened its regulatory, political and institutional frameworks to improve sustainable, participatory and gender-sensitive management of natural resources, promoting more responsible patterns of production and consumption, in a context of climate change.
Indicator 2.8. Number of public policy instruments designed and / or implemented at the national or local level to promote the environmental sustainability of the country, on issues of sustainable use of natural resources and biodiversity conservation, climate change, management of chemicals and hazardous waste, international waters and the promotion of renewable energies. Include, through public policy for the mainstreaming of education for sustainable development.
Baseline 11. Target 38

This project will be linked to the following output of the UNDP Strategic Plan:
Output 1.4.1 Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains.
Output indicator c. Number of shared water ecosystems (fresh or marine) under cooperative management.

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline	Midterm Target	End of Project Target	Data Collection Methods and Risks/Assumptions
Project Objective: To promote integrated water resources management (IWRM) in the Mira, Mataje and Carchi-Guáitara river basins shared by Colombia and Ecuador by strengthening the institutional and managerial capacities at the regional, local and community levels for achieving environmental and socioeconomic benefits.	<u>Mandatory Indicator 1:</u> Number of shared water ecosystems (fresh or marine) under cooperative management between Colombia and Ecuador.	0	0	3 transboundary watersheds (Mira, Mataje and Carchi-Guáitara)	Presidential declarations, reports of binational cabinet meetings or formal instrument adopting the SAP. Risks: ▪ Security risks in the target area hinder project implementation. ▪ Complex security environment in the target area result in tension between both governments. Assumptions: ▪ Both countries maintain their political commitment to advance collaborative management of transboundary water resources. ▪ It is a priority in the political agenda of both countries to address the major anthropogenic

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[1] Target 6.5 By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate.

Target 6.B Support and strengthen the participation of local communities in improving water and sanitation management.

[2] Target 6.3 By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally.

[3] Target 14.1 By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution.

[4] Target 15.1. By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements.

Target 15.9. By 2020, integrate ecosystem and biodiversity values into national and local planning, development processes, poverty reduction strategies and accounts.

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline	Midterm Target	End of Project Target	Data Collection Methods and Risks/Assumptions
					pressures that negatively affect the three transboundary watersheds.
					▪ There is good communication and collaboration among government agencies and local governments in both countries.
					▪ The changes resulting from the national and local elections do not affect working relations and commitments.
	Mandatory indicator 2: Number of direct project beneficiaries.	0	≥50,000 (beneficiaries of pilot interventions and project actions)	≥1,160,000 when SAP is approved	Census results and population projections for overall population per transboundary watershed. Record of persons that participate in project actions; to be continuously documented.
					Risks: Same as above. Assumptions: Same as above
	Indicator 3: Number of specific binational commitments to address critical aspects of conservation and sustainable use of water resources and to advance IWRM in the three transboundary basins.	1	1	≥3[5]	Presidential declarations, reports of binational cabinet meetings or formal instruments signed by pertinent authorities (national and local authorities).
					Risks: Same as above. Assumptions: ▪ Key stakeholders are motivated to advance IWRM in the transboundary basins. ▪ Political factors do not limit collaboration among key organizations and local and national authorities.
Outcome[6] 1 Priority transboundary issues affecting quality and quantity of water, its vulnerability to climate change and variability and barriers for IWRM, and their immediate and root causes, have been identified,	Indicator 4: TDA approved by the Project Board.	0	End of second year: draft TDA is ready.	TDA approved at the beginning of year 3.	Project Board minutes.
					Risks: Key public and private organizations do not share or disclose data and information that is central to develop the TDA. Assumptions:

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[5] At least three instruments will be agreed:
- Binational workplan that includes commitments to make SAP implementation viable.
- Binational protocol for monitoring water quality.
- Binational protocol to exchange and share hydrometeorological information of transboundary watersheds.

[6] Outcomes are short to medium term results that the project makes a contribution towards, and that are designed to help achieve the longer-term objective. Achievement of outcomes will be influenced both by project outputs and additional factors that may be outside the direct control of the project.

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline	Midterm Target	End of Project Target	Data Collection Methods and Risks/Assumptions
including a governance and stakeholder analysis to further inform the SAP process.					▪ Key stakeholders are engaged and actively participate in the development of the TDA. ▪ The members of the TDA development team are granted sufficient time to contribute to the process by their employers.
	Indicator 5: Percentage of women in the TDA Development team	0	≥40%	≥40%	Means of verification: ▪ Register of participation in each event (physical document with signatures) ▪ Spreadsheet file with the records Register participants in each event, including their name, age, sex, nationality, identity card number, telephone number, e-mail, organization (if they belong to one), and signature. Data will be compiled and systematized into an electronic spreadsheet file. Number of events each person attend will be also registered (in table format).
					Risks: Security risks in the target area limit participation of local stakeholders. Assumptions: Women are motivated to participate in the TDA development team.
	Indicator 6: project specific Percentage of people from non-state entities[7] in the TDA Development team	0	≥30%	≥30%	Same as above
					Risks: Same as above Assumptions: Local groups and stakeholders are motivated to be part of the TDA development team.
Outcome 2 Priority actions required for achieving IWRM of the Mira, Mataje and Carchi-Guáitara basins identified and integrated to the binational, national and sub-national development plans in both countries.	Indicator 7: SAP formally endorsed by the governments of Colombia and Ecuador	0	End of third year: core SAP elements discussed with local stakeholders.	SAP adopted at the beginning of year 4	Project Board minutes acknowledging SAP. Presidential declarations, reports of binational cabinet meetings or formal instrument adopting the SAP.
					Risks: Complex security environment in the target area result in tension between both governments. Assumptions: ▪ Both countries maintain their political commitment to advance collaborative management of transboundary water resources.

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[7] i.e., Entities that are independent of the government such as civil society organizations, farmers associations or community groups.

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline	Midterm Target	End of Project Target	Data Collection Methods and Risks/Assumptions
					▪ The changes resulting from the national and local elections do not affect working relations and commitments.
	Indicator 8: Number of people (local key actors) involved in the SAP consultation process	0	As above ≥150	≥250	Means of verification: ▪ Register of participation in each event (physical document with signatures) ▪ Spreadsheet file with the records Register participants in each event, including their name, age, sex, nationality, identity card number, telephone number, e-mail, organization (if they belong to one), and signature. Data will be compiled and systematized into an electronic spreadsheet file. Number of events each person attend will be also registered (in table format).
					Risks: Security risks in the target area impede participation of local stakeholders. Assumptions: ▪ Community workers build relationships of trust with local groups. ▪ Political agendas and interests do not limit participation and contribution of local groups. ▪ People provide their personal information and sign the register book.
	Indicator 9: Percentage of women in the SAP Development team	0	≥40%	≥40%	Means of verification: ▪ Register of participation in each event (physical document with signatures) ▪ Spreadsheet file with the records Register participants in each event, including their name, age, sex, nationality, identity card number, telephone number, e-mail, organization (if they belong to one), and signature. Data will be compiled and systematized into an electronic spreadsheet file. Number of events each person attend will be also registered (in table format).
					Risks: Security risks in the target area limit participation of local stakeholders. Assumptions: Women are motivated to participate in the SAP development team.
Outcome 3 Improved individual and institutional capacities in both countries to apply IWRM in the binational basins.	Indicator 10: Number of government officials trained in transboundary water management	0	≥20	≥20	Means of verification: ▪ Register of participation in each event (physical document with signatures) ▪ Spreadsheet file with the records Register participants in each event, including their name, age, sex, nationality, identity card number, telephone

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline	Midterm Target	End of Project Target	Data Collection Methods and Risks/Assumptions
					number, e-mail, organization, and signature. Data will be compiled and systematized into an electronic spreadsheet file. Number of events each person attend will be also registered (in table format).
					Risks:
					None
					Assumptions:
					Government officials (central and local governments) are motivated to engage into transboundary water management and hydro-diplomacy
	Indicator 11: Number of people from water and irrigation boards trained (≥30% women)	0	≥100	≥200	Same as above
					Risks:
					Security risks in the target area limit participation of local stakeholders.
					Assumptions:
					• Members of water and irrigation boards are motivated to improve their skills. • People provide their personal information and sign the register book.
	Indicator 12: Number of indigenous and Afro-descendant persons trained	0	≥50	≥100	Same as above
					Risks:
					Same as above
					Assumptions:
					• Indigenous peoples and afro-descendants are interested in water management and governance and motivated to participate in training activities. • People provide their personal information and sign the register book.
	Indicator 13: Number of instruments for institutional and financial sustainability of training of water users	0	≥1	≥2 (water school, technical training of water and irrigation boards)	Resolutions or collaboration agreements signed by local or national entities (e.g., municipalities, provincial government, universities) to sustain training of water users. Must include budget allocations and/or financial mechanism.
					Risks:
					Government expenditure cuts in Ecuador due to ongoing economic problems.
					Assumptions:
					Local or national entities are willing to invest in long-term efforts to improve the capacities and skills of water users.
Outcome 4.1 Integrated water resource management and sustainable land use reduce pollution, improve water use	Indicator 14: The discharge of each treatment plant complies with the pertinent national standard.	0	≥1 comply with national standards	4 treatment plants comply with national standards (installed in	Effluent analysis done by independent laboratory at initiation of operation and every six months afterwards.

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline	Midterm Target	End of Project Target	Data Collection Methods and Risks/Assumptions
efficiency and protect/restore aquatic ecosystems in the Mira, Mataje and Carchi-Guáitara river basins and their aquifers.				Angochagua, Cumbal, Mataje and Tufiño)	Risks: Contributions of local groups (e.g., complementary funding, land site, sewer connections) do not materialise. Assumptions: Local operators adopt the new technology and adequately operate the vermifilters
	Indicator 15. Total volume of sewage treated by vermifilters in the four localities (Tufiño, Mataje, Anchocagua and Cumbal) (m³/year)	0	≥4,000,000 m³/year	$\geq$ 11,000,000 m³/year	Operation logbook of each treatment plant.
					Risks: Contributions of local groups (e.g., complementary funding, land site, sewer connections) do not materialise. Assumptions: Wastewater treatment systems act efficiently and effectively in both countries
	Indicator 16: Number of people accessing hydrometeorological information of the transboundary basins	0	$\geq$ 5,000 visits per year	$\geq$ 10,000 visits per year	Number of cumulative monthly visitors in the web-based platform. Report of the web analysis programme
					Risks: Hydrometeorological equipment can be vandalised or access to them can be hindered by security issues. Assumptions: ▪ Local stakeholders are interested in using the information. ▪ Local stakeholders have the means to access the web-based platform.
	Indicator 17: Surface (ha) protected from landslides with bioengineering	0	≥2,000 ha	9,490 ha	Measurement of surface protected by bioengineering. Reports from WWF-Colombia.
					Risks: Security risks in the target area limit participation of local stakeholders. Assumptions: There are no extreme weather events during project implementation.
	Indicator 18: Public investment (USD) that finances improvements in water systems in Nariño	0	0	>USD2,000,000	Confirmed funding to implement public investment project. Letter from Government of Nariño.
					Risks: Government expenditure cuts in Colombia. Assumptions:

	Objective and Outcome Indicators (no more than a total of 15 -16 indicators)	Baseline	Midterm Target	End of Project Target	Data Collection Methods and Risks/Assumptions
					Elections of central and regional governments do not change interest in investing in water systems in Nariño.
Outcome 4.2 Learning generated through replicable innovative interventions supports the SAP development and decision making.	Indicator 19: project specific Number of people (men and women, by country) who have participated in events for the dissemination of lessons and best practices (e.g., workshops, IWC)	0	≥200 (>30% women)	≥500 (>30% women)	Means of verification: ▪ Register of participation in each event (physical document with signatures) ▪ Spreadsheet file with the records Register participants in each event, including their name, age, sex, nationality, identity card number, telephone number, e-mail, organization, and signature. Data will be compiled and systematized into an electronic spreadsheet file. Number of events each person attend will be also registered (in table format).
					Risks: Security risks in the target area limit participation of local stakeholders. Assumptions: Stakeholders are interested in the project´s lessons.
	Indicator 20: Number of visitors per month (annual average) recorded in the network of electronic platforms used to disseminate project´ learnings and best practice	Visits 0 Unique visits 0	Visits >2000 Unique visits >1500	Visits >4000 Unique visits >3000	Number of monthly visitors (annual average) in each used platform (e.g., web page, You Tube channel). Report of the web analysis programme.
					Risks: None Assumptions: Local groups have proper access to the Internet and social networks.

Indicator Assessment Key

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

ToR ANNEX B: List of Documents to be reviewed by the MTR consultant

1. PIF
2. UNDP Project Document (PRODOC)
3. Gender Strategy Plan
4. UNDP Social and Environmental Screening Procedure (SESP)
5. Project Inception Report
6. All Project Implementation Reports (PIR´s)
7. Semestral 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
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by project Team
13. Other documents required by the consultant

The following documents will also be available:
14. Project operational guidelines, manuals and systems
15. UNDP country programme document(s)
16. Minutes of the IWM Mira, Mataje, Carchi-Guáitara Project Board Meetings and other meetings
17. Project site location map.
18. Any additional documents, as relevant.

ToR ANNEX C: Guidelines on Contents for the Midterm Review Report [8]

i. Basic Report Information *(for the 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
- Acknowledgments

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
- A concise summary of conclusions
- Recommendation Summary Table

2. Introduction *(2-3 pages)*
- Purpose of the MTR and objectives
- Scope and Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations of 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: a 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/Log frame

    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

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[8] The Report length should not exceed *40* pages in total (not including annexes).

- Communications & Knowledge Management

4.4 Sustainability
- Financial risks to sustainability
- Socio-economic risks 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
- Rating 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*

ToR ANNEX D: Midterm Review Evaluative Matrix Template

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. The following questions are preliminary, the consultant can review, adjust and add questions, which he/she considers necessary for this MTR.

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
(include evaluative questions)	(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.
Project: Relevance/Coherence			
Was the project aligned with national development priorities, country program outputs and outcomes, the UNDP Strategic Plan and the SDGs?			
What was the project's contribution to the theory of change for the relevant country program outcome?			
Were lessons learned from other relevant projects taken into account in the design?			
During the project design processes, were the perspectives of men and women who could influence the effects and who could contribute information or other resources to the achievement of the indicated results considered?			
Does the project contribute to gender equality, women's empowerment and a human rights-based approach?			
Has the project had an adequate response capacity to political, legal, economic, institutional changes, etc. from the country?			
Project: Effectiveness			
What was the contribution of the project to the outcomes and outputs of the country program, the SDGs, the UNDP Strategic Plan and national development priorities?			
To what extent were the project outputs achieved, taking into account men, women and vulnerable groups?			
What factors contributed or hindered the achievement of the expected outputs or outcomes in the country program?			
Was the UNDP partnership strategy appropriate and effective?			

What factors contributed to effectiveness or ineffectiveness?			
In which areas did the project record the greatest achievements? What were the favorable factors and why? How can the project further develop or expand on these achievements?			
In which areas was the project least successful? What were the limiting factors and why? How would or was it possible to overcome them?			
What other strategies, if any, would have been more effective in achieving the project objectives?			
Are the objectives and products of the project clear, practical and feasible within its scope? Do they clearly take into account women, men and vulnerable groups?			
What has been the involvement of the various stakeholders in the implementation of the project?			
Are the project management and execution processes participatory and does this participation of men, women and vulnerable groups contribute to the achievement of its objectives?			
Has the project's responsiveness been adequate to the needs of national groups (men, women and vulnerable groups) and to changes in partner priorities?			
Has the project contributed to gender equality, women's empowerment and the realization of human rights?			
Project: Efficiency			
How efficient was the project management structure defined in the project document in achieving the expected results?			
To what extent were resources used to address inequalities in general and address gender issues in particular?			
How efficient and cost-effective was the implementation strategy and implementation of the UNDP project?			
To what extent were financial and human resources used economically? Were resources (funds, male and female staff, time, expertise, etc.) allocated strategically to achieve impact?			
To what extent were resources used efficiently? Were the activities carried out in support of the strategy profitable?			
Were funds provided and project activities implemented in a timely manner?			
Did the M&E systems used by UNDP ensure the effectiveness and efficiency of project management?			

Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Project Implementation and Adaptive Management:			
Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far?			
To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project´s implementation?			
To what extent has progress been made in the implementation of social and environmental management measures?			
Have there been changes to the overall project risk rating and/or the identified types of risks as outlined at the CEO Endorsement stage?			
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
Is there any financial risk that could jeopardize the sustainability of the project products that affect women, men and vulnerable groups?			
To what extent will target men, women and vulnerable groups benefit from project interventions in the long term?			
To what extent will financial and economic resources be available to sustain the benefits achieved through the project?			

ToR ANNEX E: UNEG Code of Conduct for Evaluators/Midterm Review for consultants[9]

Evaluators/The 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 rights not to engage. Evaluators must respect people´s rights 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 the 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 the consultant Agreement Form

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

Name of the consultant: _____

Name of Consultancy Organization (where relevant): _____

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

Signed at _____ *(Place) on* _____
(date) _____

Signature: _____

ToR ANNEX F: MTR Ratings

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

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

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future.
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review.
2	Moderately Unlikely (MU)	A 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

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ToR ANNEX G: MTR Report Clearance Form

Midterm Review Report Reviewed and Cleared By:
Commissioning Unit
Name: _____
Signature: _____   Date: _____
UNDP-GEF Regional Technical Advisor
Name: _____
Signature: _____   Date_____

ToR ANNEX H: 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