

Terms of Reference

Evaluations of the GEF-financed Full-Size Projects for the Fifth Phase of the GEF Small Grants Programme in Bolivia, Costa Rica, Ecuador, Kenya and México

The five projects listed here were approved in GEF OP5 as upgrading country programme projects financed by the GEF. Upgrading SGP Country Programme projects are products of the policy approved by GEF Council at the November Council of 2008. Under this policy, countries were encouraged to finance their SGP Country Programmes with a higher amount from their STAR allocations. The average GEF financing per upgrading country programme is USD 4.6 million.

Upgrading Country Programmes follow SGP Operational Guidelines, in particular in regard to the composition of the National Steering Committee and the role of the National Coordinator. The four-year standard Country Programme Strategies have been substituted by UNDP-GEF Project Documents in which a logical framework delineates the expected outputs and outcomes to be produced as a consequence of a focused grant making scheme. In the case of the five UCPs listed here, UNOPS remains the executing agency.

The evaluations of the five projects consist of one Terminal Evaluation (Mexico) and four Midterm Reviews (Bolivia, Costa Rica, Ecuador and Kenya). UNDP-GEF supplies standard TORs for Terminal Evaluations (page 2-13) and Midterm Reviews (page 14-25), which can be found below. The project evaluations will require assessment, against the outcomes and outputs of each project, of the impacts achieved or in progress, identification of lessons learned, identification of bottlenecks and obstacles to further implementation and development of the Country Programmes for the future. The evaluator will produce an individual written assessment report for each project, as well as an overall synthetic, comparative report across all projects which will identify trends and patterns in design and implementation as input to SGP programme analysis overall.

TERMINAL EVALUATION TERMS OF REFERENCE

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the **Fifth Operational Phase of the GEF Small Grants Programme in Mexico (PIMS #4519.)**

The essentials of the project to be evaluated are as follows: *(fully complete the table below)*.

PROJECT SUMMARY TABLE

Project Title:				
GEF Project ID:			<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	4519	GEF financing:		
Country:	Mexico	IA/EA own:	UNDP	
Region:	LAC	Government:		
Focal Area:	MFA	Other:		
FA Objectives, (OP/SP):		Total co-financing:		
Executing Agency:	UNOPS	Total Project Cost:		
Other Partners involved:	ProDoc Signature (date project began):			
	(Operational) Closing Date:	Proposed:	Actual:	

OBJECTIVE AND SCOPE

The project was designed to: *(provide a project summary including project goal and outcomes. Also, in cases where the GEF funded project forms part of a larger programme, specify if the TE is to cover the entire programme or only the GEF component).*

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

EVALUATION APPROACH AND METHOD

An overall approach and method¹ for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#). A set of questions covering each of these criteria have been drafted and are included with this TOR (*fill in Annex C*). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to (*location*), including the following project sites (*list*). Interviews will be held with the following organizations and individuals at a minimum: (*list key stakeholders*).

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

Evaluation Ratings:			
1. Monitoring and Evaluation	rating	2. IA& EA Execution	rating
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	rating	4. Sustainability	rating
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

PROJECT FINANCE / COFINANCE

¹ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.²

CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons**.

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the global manager for the SGP Upgrading Country Projects, assisted by UNOPS, as the executing agency for these projects. UNOPS will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

² A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROTI) method developed by the GEF Evaluation Office: [ROTI Handbook 2009](#)

EVALUATION TIMEFRAME

The total duration of the evaluation will be **XX** days according to the following plan:

Activity	Timing	Completion Date
Preparation	03	<i>date</i>
Evaluation Mission	08	<i>date</i>
Draft Evaluation Report	07	<i>date</i>
Final Report	02	<i>date</i>

EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to global manager for SGP Upgrading Country Programmes, UNOPS, UNDP CO, and National Coordinator
Presentation	Initial Findings	End of evaluation mission	To National Coordinator, UNDP CO
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	To global manager UCPs, CO, NC, NSC
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to global manager UCPs, UNDP CO, NC, NSC

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

TEAM COMPOSITION

The evaluation team will be composed of *(1-2 international /national evaluators)*. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. *(If the team has more than 1 evaluator, one will be designated as the team leader and will be responsible for finalizing the report)*. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Team members must present the following qualifications:

- Minimum **XX** years of relevant professional experience
- Knowledge of UNDP and GEF
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the targeted focal area(s)
- *(additional skills based on project particulars)*

EVALUATOR ETHICS

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

PAYMENT MODALITIES AND SPECIFICATIONS

(this payment schedule is indicative, to be filled in by the CO and UNDP GEF Technical Adviser based on their standard procurement procedures)

%	Milestone
10%	At contract signing
40%	Following submission and approval of the 1ST draft terminal evaluation report
50%	Following submission and approval (global manager UCPs, UNDP-CO) of the final terminal evaluation report

ANNEX A: PROJECT LOGICAL FRAMEWORK

(to be added)

ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

(to be added)

ANNEX C: EVALUATION QUESTIONS

This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
•	•	•	•
•	•	•	•
•	•	•	•
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
•	•	•	•
•	•	•	•
•	•	•	•
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
•	•	•	•
•	•	•	•
•	•	•	•
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
•	•	•	•
•	•	•	•
•	•	•	•
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
•	•	•	•
•	•	•	•

ANNEX D: RATING SCALES

<p>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</p> <p>6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems</p>	<p>Sustainability ratings:</p> <p>4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks</p>	<p>Relevance ratings</p> <p>2. Relevant (R) 1.. Not relevant (NR)</p> <p>Impact Ratings:</p> <p>3. Significant (S) 2. Minimal (M) 1. Negligible (N)</p>
<p><i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A)</p>		

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form³

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: _____

³www.unevaluation.org/unegcodeofconduct

ANNEX F: EVALUATION REPORT OUTLINE⁴

- i.** Opening page:
 - Title of UNDP supported GEF financed project
 - UNDP and GEF project ID#s.
 - Evaluation time frame and date of evaluation report
 - Region and countries included in the project
 - GEF Operational Program/Strategic Program
 - Implementing Partner and other project partners
 - Evaluation team members
 - Acknowledgements
- ii.** Executive Summary
 - Project Summary Table
 - Project Description (brief)
 - Evaluation Rating Table
 - Summary of conclusions, recommendations and lessons
- iii.** Acronyms and Abbreviations
(See: UNDP Editorial Manual⁵)
- 1.** Introduction
 - Purpose of the evaluation
 - Scope & Methodology
 - Structure of the evaluation report
- 2.** Project description and development context
 - Project start and duration
 - Problems that the project sought to address
 - Immediate and development objectives of the project
 - Baseline Indicators established
 - Main stakeholders
 - Expected Results
- 3.** Findings
(In addition to a descriptive assessment, all criteria marked with (*) must be rated⁶)
- 3.1** Project Design / Formulation
 - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
 - Planned stakeholder participation
 - Replication approach
 - UNDP comparative advantage
 - Linkages between project and other interventions within the sector
 - Management arrangements
- 3.2** Project Implementation
 - Adaptive management (changes to the project design and project outputs during implementation)
 - Partnership arrangements (with relevant stakeholders involved in the country/region)
 - Feedback from M&E activities used for adaptive management

⁴The Report length should not exceed 40 pages in total (not including annexes).

⁵ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

⁶ Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- Project Finance:
 - Monitoring and evaluation: design at entry and implementation (*)
 - UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues
- 3.3** Project Results
- Overall results (attainment of objectives) (*)
 - Relevance(*)
 - Effectiveness & Efficiency (*)
 - Country ownership
 - Mainstreaming
 - Sustainability (*)
 - Impact
- 4.** Conclusions, Recommendations & Lessons
- 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
 - Best and worst practices in addressing issues relating to relevance, performance and success
- 5.** Annexes
- ToR
 - Itinerary
 - List of persons interviewed
 - Summary of field visits
 - List of documents reviewed
 - Evaluation Question Matrix
 - Questionnaire used and summary of results
 - Evaluation Consultant Agreement Form

ANNEX G: EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____

UNDP-GEF Midterm Review Terms of Reference Template

Note: This template MTR ToR fits the formatting requirements of the UNDP Procurement website.

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *full or medium-sized* project titled *Project Title* (PIMS#) implemented through the *Executing Agency*, which is to be undertaken in *year*. The project started on the *project document signature date* and is in its *third* year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated following the completion of the second Annual Project Review/ Project Implementation Report (APR/PIR). 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*.

2. PROJECT BACKGROUND INFORMATION

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

3. OBJECTIVES OF THIS MTR

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document (ProDoc), and assess early signs of project success or failure with the goal of identifying the necessary changes to be made to set the project on-track to achieve results. The MTR will also review the project's strategy, its risks to sustainability and the project's preparation of a strategy for when UNDP-GEF project support ends (if they have one and if they don't, then assist them in preparing one at the midterm).

4. MTR APPROACH & METHODOLOGY

The MTR 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 Environmental & Social Safeguard Policy, the Project Document, project reports including APR/PIRs, project budget revisions, lesson learned reports, other project files, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach⁷ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.⁸ Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *(list)*; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to *(location)*, including the following project sites *(list)*.

The final MTR report should 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 MTR

The MTR team will assess the following four categories of project progress. See the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for requirements on ratings. No overall rating is required.

5.1 Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the project document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- 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.

⁷ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

⁸ 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.

- 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.

5.2 Project Results

Progress Towards Results:

- Review the logframe indicators against progress made towards the end-of-project targets using the Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "High risk of not being achieved" (red).
- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

5.3 Project Implementation and Adaptive Management

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been solved.
- 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 document logical/results framework as a management tool and review any changes made to it since project start. Ensure any revisions meet UNDP-GEF requirements and assess the impact of the revised approach on project management.

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 allowed 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? Are project teams meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Monitoring 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?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- 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 long-term investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express to the public the project progress and intended impact (is there a project website or a weekly e-bulletin, 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.

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 project Implementing Partners and recommend areas for improvement.
- Review the quality of support provided by UNDP and recommend areas for improvement.

5.4 Long-term Sustainability

- Validate whether the risks identified in the Project Document, APR/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why. Give particular attention to critical risks.
- Assess overall risk management to sustainability factors of the project in terms of risks to motivations, capacity, and resources. Does the project have sustainability benchmarks built into the project cycle?
- *Financial 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-political 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 are 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 and Governance 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 Sustainability:* Are there any environmental risks that may jeopardize sustenance of project outcomes? The MTR should assess whether certain activities will pose a threat to the sustainability of the project outcomes.

6. CONCLUSIONS & RECOMMENDATIONS

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.

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 will make recommendations by outcomes, as well as on Project Implementation and on Long-Term Sustainability/ Risk Mitigation strategy; they will make at least 5 key recommendations, and no more than 15 recommendations total.

7. TIMEFRAME

The total duration of the MTR will be (# of weeks) starting (date) according to the tentative MTR timeframe as follows:

DATE	ACTIVITY
(dates)	Desk review - 2 days
(date)	MTR Inception Workshop - 1 day
(dates)	Validation of MTR Inception Report - 1 day
(dates)	Stakeholder meetings, interviews, field visits - 6-8 days, depending on number and distances
(dates)	Mission wrap-up & presentation of initial findings 3 days
(dates)	Preparing draft report 5 days
(dates)	Incorporating audit trail on draft report/Finalization of final report (off-site) 2 days
(dates)	Preparation & Issue of Management Response

(dates)	Comments/ Feedback on the Management Response
(date)	Expected date of full MTR completion

Options for field trips should be provided in the Inception Report.

8. MIDTERM REVIEW DELIVERABLES

- **MTR Inception Report:** MTR team clarifies objectives and methods of Midterm Review
 - Timing: No later than 2 weeks before the MTR mission
 - Responsibilities: MTR team submits to the Commissioning Unit
- **Presentation:** Initial Findings
 - Timing: End of MTR mission
 - Responsibilities: MTR Team presents to project management and the Commissioning Unit
- **Draft Final Report:** Full report (as template in Annex B) with annexes
 - Timing: Within 3 weeks of the MTR mission
 - Responsibilities: Sent to the Commissioning Unit, reviewed by RTA, PCU, GEF OFP
- **Final Report:** Revised report with audit trail detailing how all received comment have (and have not) been addressed in the final MTR report
 - Timing: Within 1 week of receiving UNDP comments on draft
 - Responsibilities: Sent to the Commissioning Unit
- **Comments on the Management Response:** Review the Management Response to the Final MTR report and provide comments
 - Timing: Within 1 week of receiving the Management Response
 - Responsibilities: Sent to the Commissioning Unit

9. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP-GEF GLECRDS under the responsibility of the UNDP-GEF global manager for the SGP Upgrading Country Programmes.

The commissioning unit will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

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

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

- Recent experience with result-based management evaluation methodologies;

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

11. PAYMENT MODALITIES AND SPECIFICATIONS

Upon approval of final version of the Midterm Review report by the Commissioning Unit and the UNDP-GEF RTA/team, 80% of the payment will be disbursed. Upon receipt of comments/ feedback on the Management Response, the remaining 20% of the payment will be disbursed.

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

1. Project Document
2. Project Inception Report and Project Implementation Reports (APR/PIR's)
3. Quarterly progress reports and work plans of the various implementation task teams
4. Audit reports
5. GEF focal area Tracking Tools (*fill in specific TTs for this project's focal area*)
6. The Mission Reports
7. M & E Operational Guidelines
8. All monitoring reports prepared by the project
9. Financial and Administration guidelines.
10. Environmental and Social Screening results

The following documents will also be available:

11. Project operational guidelines, manuals and systems
12. Minutes of (*Project Title*) Meetings
13. Minutes of the (*Project Title*) Board Meetings
14. Maps
15. The GEF Completion Report guidelines; and
16. UNDP Monitoring and Evaluation Frameworks.

TOR ANNEX B: Guidelines on Contents for the Midterm Review Report⁹

- 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
 - 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 Rating & Achievement Summary Table
 - Project Recommendations Table
 - Concise summary of conclusions
 - Recommendation Summary Table
- 2.** Introduction (*2-3 pages*)
 - Purpose of the MTR
 - Scope & Methodology
 - Structure of the MTR report

⁹ The Report length should not exceed ~~40~~ pages in total (not including annexes).

3. Project Description and Background Context (3-5 pages)
 - Project start and duration
 - Problems that the project sought to address
 - Immediate and development objectives of the project
 - Main stakeholders
 - Expected Results
4. Findings (12-14 pages)
 - 4.1 Project Strategy
 - Project Design
 - Results Framework/Logframe
 - 4.2 Project Results
 - Progress towards outcomes
 - 4.3 Project Implementation and Adaptive Management
 - Work planning
 - Finance and co-finance
 - Monitoring systems
 - Reporting
 - Communications
 - Management Arrangements
 - 4.4 Long-term 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 Mission Itinerary
 - List of persons interviewed
 - List of documents reviewed
 - Questionnaire or Interview Guide used
 - Audit Trail from received comments on MTR draft report
 - Co-financing table
 - Project Ratings Scales
 - Signed UNEG Code of Conduct form
 - Signed MTR clearance form
 - *Annexed in a separate file:* Relevant midterm tracking tools (METT, FSC, Capacity scorecard, etc.)

TOR ANNEX C: UNEG Code of Conduct for Evaluators/Midterm Review Consultants¹⁰

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.

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: _____

¹⁰ www.undp.org/unegcodeofconduct

TOR ANNEX D: MTR Ratings

Ratings for Project Results/ Progress Towards Results: (one rating for each outcome and for the objective)

6. Highly Satisfactory (HS): Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as "good practice".

5: Satisfactory (S): Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.

4: Moderately Satisfactory (MS): Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.

3. Moderately Unsatisfactory (HU): Project is expected to achieve its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.

2. Unsatisfactory (U): Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.

1. Highly Unsatisfactory (HU): The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

Ratings for Project Implementation & Adaptive Management: (one overall rating)

6. Highly Satisfactory (HS): The project has been managed in very effective and efficient manner in accordance with the workplan, schedule and budget. The project can be presented as "good practice".

5: Satisfactory (S): The project has been managed in a reasonably effective and efficient manner, largely in accordance with the workplan, schedule and budget.

4: Moderately Satisfactory (MS): The project has been managed in an acceptable manner but not fully in accordance with the workplan, schedule and budget.

3. Moderately Unsatisfactory (HU): The project has been managed in a marginally effective and responsive manner but not fully in accordance with the workplan, schedule and budget.

2. Unsatisfactory (U): The project has been managed in a less than effective manner due to internal or external factors and not in accordance with the workplan, schedule and budget.

1. Highly Unsatisfactory (HU): The project has been managed in an ineffective manner particularly due to internal factors and clearly not in accordance with the workplan, schedule and budget.

Sustainability Ratings: (one overall rating)

4. Likely (L): negligible risks to sustainability

3. Moderately Likely (ML): moderate risks to sustainability

2. Moderately Unlikely (MU): significant risks to sustainability

1. Unlikely (U): severe risks to sustainability

Additional ratings where relevant:

Not Applicable (N/A)

Unable to Assess (U/A)

TOR ANNEX E: MTR Report Clearance Form

(to be completed by the CO and UNDP-GEF RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____ Date:

UNDP-GEF Regional Technical Advisor

Name: _____

Signature: _____ Date:
