

ANNEX I

**UNORCID Mid-term Review:
Terms of Reference**

August 29 2014

1. Background and Context

1. Following an MoU between the Republic of Indonesia and the UN System, the United Nations Office for REDD+ Coordination in Indonesia (UNORCID) was opened by the UN SG in Indonesia on 17 November 2011. UNORCID draws upon the collective strengths of the entire UN System, and especially its Partner Agencies, namely FAO, ILO, UNDP, UNEP, UNESCO, UNODC, UNOPS, UNU and WFP. UNORCID supports the National REDD+ Agency and promotes informed and meaningful involvement of all stakeholders, including customary and other forest-dependent communities, in fostering REDD+ implementation in Indonesia.

2. UNORCID supports REDD+ readiness efforts in Indonesia at national and province level in 11 provinces, with Pilot Province Offices in the REDD+ Pilot Provinces of Central Kalimantan and Jambi (Papua and Aceh are forthcoming) through coordination and support to national and provincial REDD+ action through analyses, methodologies, tools, data and best practices. Its purpose is to strengthen the collaboration between the government body responsible for REDD+ in Indonesia (formerly the National REDD+ Task Force, currently the National REDD+ Agency) and the UN System and to enhance the level of coordination, efficiency and effectiveness in the Government's implementation of the National REDD+ Programme.

3. UNORCID is a flexible in-country structure that evolves with the needs of the Government. Since the opening of the Office, many changes have taken place, both externally and within UNORCID. As the REDD+ landscape and country needs evolve, UNORCID reviews its objectives to ensure it is meeting the needs of Indonesia and the REDD+ provinces as they gradually move beyond the Quick Start and initial readiness phase.

4. As such, it is time to take stock. As foreseen in the Mou, 'a midterm review of the results achieved by UNORCID is to be undertaken jointly by the UN and the Government 2 (two) years after the date of signing of the MoU, which may be renewed or amended by written agreement of the Parties'.

1.1 UNORCID Objective, Expected Outcomes and Outputs

5. As set out in the MoU, the main responsibilities foreseen for UNORCID are as follows:
- Support the National REDD+ Programme leadership on strategy, policy and coordination and other evolving areas of significance as agreed from time to time between NRTF/successor entity and UNORCID;
 - Support NRTF/successor entity, relevant ministries of the Government, national and local authorities as well as the NGO community in the identification of gaps, and determination of criteria for the prioritisation of assistance;
 - Encourage and promote a coordinated international response to ensure the efficient allocation of resources for REDD+ in support of the priorities of the Government as foreseen in the evolving National REDD+ Strategy, and other appropriate documents;
 - Facilitate the design of a comprehensive UN strategic plan that will, in conjunction with NRTF/successor entity establish the key roles, deliverables and accountability of the UN System in Indonesia in the implementation of national REDD+ priorities in Indonesia;

- Support information management, data and analysis, including the establishment of a database on the beneficiaries, their needs, provision and implementation of assistance across all the phases of the National REDD+ Programme;
- Promote the mainstreaming of Climate Change Adaptation (CCA) as an integral component of the climate change mitigation activities undertaken under the National REDD+ Programme;
- Promote the coordination of the UN System's support to the National REDD+ Programme with the ongoing UN REDD Programme in Indonesia;
- Identify means of facilitating coordination between and amongst environmental NGOs and the broader global community working on climate change mitigation work in Indonesia.

1.2 Structure and Executing Arrangements

6. The Director of UNORCID reports to the Chairperson of UNDG through the appropriate regional UNDG structures, i.e. Chair of the UNDG RDT for Asia and the Pacific.

7. FAO, UNDP and UNEP, the three agencies participating and supporting the UNORCID MTR, assist UNORCID through in-kind contributions (senior staff) in accordance with their expertise and comparative advantages. FAO on technical issues related to forestry, natural resources and supporting specifically the development of REDD+ monitoring, including measurement, reporting and verification (MRV) systems; UNDP on national coordination and partnership, with its focus on governance, socio-economic implications of REDD+ and the engagement of Indigenous Peoples and civil society; and UNEP in convening expertise and decision-makers in the REDD+ agenda, increasing knowledge and capacity on multiple benefits of REDD+ and facilitating the conditions to move towards a low carbon economy by transforming the forest sector through analysis, scenario development and assessment of options for investments.

8. Other entities of the UN system competent in the thematic area of REDD+ have provided technical expertise and assistance in support of the National REDD+ Programme through UNORCID.

9. Internal Governance of UNORCID is provided by the Executive Office, led by the Director and Executive Head of UNORCID.

2. The Mid-Term Review (MTR)

10. As stipulated in the MoU establishing UNORCID, 'A midterm review of the results achieved by UNORCID shall be undertaken jointly by the UN and the Government 2 (two) years from the date of signing of the MoU. The MoU may be renewed or amended by written agreement of the Parties'.

2.1 Objective and Scope

11. The primary objective of the MTR is to review the Office's contributions and performance in terms of relevance, effectiveness (against expected outputs and outcomes) and efficiency in order to identify achievements, shortcomings and lessons learned, process improvements and program opportunities and when necessary recommend mid-course adjustments to improve performance and

increase sustainable development impacts and benefits. Related to the sustainability issue, the MTR will also assess whether UNORCID's mandate should be extended beyond the current end Sept 2015 timeline and potential options to resource the continuation of UNORCID's presence as applicable.

12. The MTR will cover performance under the following terms: (i) to provide evidence of results to meet accountability requirements, (ii) to promote learning, feedback and knowledge sharing through results and lessons learned among UNORCID, UN System and other partners, and, (iii) to inform possible extension of the UNORCID mandate and the revision of its engagement strategy, and indicate potential options to resource the continuation of UNORCID's presence as applicable.

13. The **scope** of the MTR is to review the results achieved by UNORCID from the time of its inception in November 2011 to August 2014. The review will encompass the activities and geographical scope of UNORCID as a whole, including both the national and the provincial level offices respectively.

14. The **primary audience** for the MTR will be the Chair of UNDG, UN System Partners and the Government of Indonesia. The secondary audience for the MTR will be the relevant institutions of Indonesia participating in REDD+ interventions, other REDD+ initiatives, along with the broader REDD+ community. The MTR will also be made available to the public through the UNORCID website and other relevant websites.

2.2 Criteria

15. To focus the MTR objectives by defining the standards against which the initiative will be assessed, the following six internationally accepted criteria will be applied:

16. **Relevance**, concerns the extent to which UNORCID and its intended outcomes or outputs are consistent with policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is responsive to development with regards to REDD+ in Indonesia. Within this context, the MTR will assess how far UNORCID has succeeded in representing the interests and views of the UN system (and in particular its sponsoring agencies) on REDD+ in Indonesia.

17. **Effectiveness**, measures the extent of which the expected outcomes have been achieved or the extent to which progress towards these outcomes has been made. In this context, the MTR will also assess whether the existence of UNORCID has led to a stronger, more coordinated and better substantiated response of the UN system to the challenges of the REDD+ agenda in Indonesia than would have been otherwise possible without the establishment of a dedicated facility.

18. **Likelihood of impact**, measures to what extent UNORCID has contributed to, or is likely to contribute towards impact, such as changes in the governance systems and stakeholder behaviour, and to impact on the environment and how it affects human well-being. The MTR will assess the likelihood of impact by critically reviewing UNORCID's intervention strategy (Theory of Change) and the presence of the required drivers and assumptions (external factors and conditions) for outcomes to lead to intermediate states and impact.

19. **Sustainability and up-scaling**, analyses the likelihood of sustainable outcomes at termination of UNORCID's mandate, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects, institutional and governance factors, and environmental

risks. Related to the sustainability issue, the MTR will assess whether UNORCID's mandate should be extended beyond the current end Sept 2015 timeline given that the second phase of the Norway/ Indonesia Letter of Intent has been extended to Dec 2016 and the third phase could possibly run until 2020 (in line with Indonesia's GHG reduction plans). If yes, what would be the options to resource the continuation of UNORCID's presence including the possibility of government and institutionalized programme cost-sharing from Norway/ Indonesia REDD+ funds in addition to support from the UN through corporate or regional funding windows as applicable.

20. **Efficiency** measures how economically resources or inputs (such as funds and expertise) were used to deliver high quality goods and services (outputs), and how timely these outputs have been delivered.

21. **Cross-cutting issues:** the MTR will review UNORCID's performance in terms of gender mainstreaming, integration of social and environmental safeguards at design and during implementation, and contributions to broader organisational learning of the participating agencies.

2.3 Deliverables

22. The Table of Contents that could be used for the 2 deliverables, the Inception Report and the MTR Report are attached as Annex 1 and 2.

23.

24. **Inception Report:**

Following the contracting, the consultant team will prepare a brief inception report that contains:

- A proposed schedule of tasks, activities and deliverables
- A more detailed description of the UNORCID context, mandate and arrangements
- A desk-based, draft Theory of Change of the UNORCID
- The Review Framework which provides a more detailed list of review questions and sources/methods of data collection, including a list of key stakeholders and other individuals, who should be consulted, developed with the assistance of the UNORCID team.
- A preliminary list of documents to be consulted by the review team.

25. The Inception Report will be reviewed by the MTR Focal Points from the Government of Indonesia, the three participating UN Organizations, UNORCID and other relevant stakeholders (see Section 3: Management of the MTR).

26. **MTR Report:**

- The MTR team shall prepare a Draft MTR Report meeting the required criteria as described in this Terms of Reference.
- The recommendations included in the draft report will be addressed to the different stakeholders and prioritized: they will be evidence-based (with references to the relevant findings in the report), relevant, focused, clearly formulated and actionable.
- The report shall be in English, and should be approximately 10,000 – 12,000 words, excluding executive summary and annexes.

27. The Draft MTR Report will be submitted first to the MTR Focal Points, who will review the document for quality and completeness and request enhancements from the consultants as needed.

The revised draft report will then be circulated among the three participating UN Organizations, the Government of Indonesia, relevant UNORCID staff and other key stakeholders for comments.

28. Comments will be incorporated as deemed appropriate by the MTR team. A “Response to comments matrix” will be prepared by the MTR team to show how comments received have been dealt with in the Final MTR Report. The MTR Team is fully responsible for its independent report, which may not necessarily reflect the views of implementing agencies, the Government of Indonesia and other key actors.

29. The *Final MTR Report* will be published on the UN-REDD Programme (www.un-redd.org) and UNORCID (www.unorcid.org) websites and other relevant websites.

30. Annexes to the MTR report will include, though not limited to, the following as relevant:

- ✓ Terms of reference for the MTR;
- ✓ Additional methodology-related documentation;
- ✓ Profile of team members;
- ✓ List of documents reviewed;
- ✓ List of institutions and stakeholders interviewed by the MTR team;
- ✓ MTR tools.

31. Review time required - At least one working week after submission of each deliverable for review/approval.

2.4 Methodology and Processes

32. The UNORCID MTR will adhere to the UNDG Norms & Standards and will be conducted over a period of 30 working days by two independent consultants under the overall responsibility and management of the relevant headquarter, regional and country staff of the participating UN Organizations (see Section 3: Management of the MTR) . The MTR will begin by October and the MTR report finalized by the end November 2014, at the latest.

33. MTR findings and judgements should be based on sound evidence and analysis, clearly documented in the review report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned . Analysis leading to evaluative judgements should always be clearly spelled out. The limitations of the methodological framework should also be spelled out in the review reports.

34. In attempting to attribute any outcomes and impacts, the review team should consider the difference between what has happened with and what would have happened without the programme. This implies that there should be consideration of the baseline conditions and trends in relation to the intended programme outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the UNORCID Office. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this

¹ Individuals should not be mentioned by name if anonymity needs to be preserved. In such cases sources can be expressed in generic term (Government, NGO, donor etc.).

should be clearly highlighted, along with any simplifying assumptions that were taken to enable the review team to make informed judgements about UNORCID performance.

35. As this is a mid-term review, particular attention should be given to assessing the performance and contributions of UNORCID and identifying possible challenges and issues that should be resolved to enhance the office performance. The consultants should make a serious effort to provide a deeper understanding of “why” the performance of the office is the way it is. This should provide the basis for concrete and realistic recommendations for the way forward.

2.5 Data sources and Tools

36. The UNORCID MTR will make use of the following tools and data sources:

- i. A **desk review** of relevant documents including, but not limited to:
 - General background documentation on REDD, including REDD-related websites, evaluations conducted by international agencies and donors, books and scientific articles pertaining to REDD etc.;
 - Relevant reports, such as Year in Review publication, external evaluations by donors, partners etc.;
 - UNORCID MoU, design documents, including annual work plans and budgets, revisions to the logical framework and funding;
 - Documentation related to National Programme outputs and relevant materials published on the UNORCID website;
 - Other relevant documents, such as possible new national policy documents, sector plans etc. bearing relevance for UNORCID.
- ii. **Semi-structured interviews**² with a sample of key informants, stakeholders and participants, drawn from:
 - Government stakeholders including ministries participating in national coordinating bodies or steering committees;
 - Civil Society Organizations;
 - Indigenous Peoples Organizations;
 - Current and potential donors;
 - Country, regional and headquarter personnel from the UN System Partners of UNORCID;
 - Representatives from other bi-lateral or multi-lateral initiatives.

37. **Missions to Indonesia:** Meeting in-country partners and staff on the ground will be vital to acquiring a comprehensive understanding of the work conducted.

3. Management of the Mid-Term Review

² Face-to-face or through any other appropriate means of communications

38. The MTR will be conducted by an independent team of consultants. Each participating agency and the Government of Indonesia will appoint MTR Focal Points, preferably persons that are not directly involved with UNORCID but sufficiently knowledgeable about UN-REDD, to provide technical backstopping and quality assurance over the MTR process and products to ensure that they meet the required Government of Indonesia and UN standards.

39. The UNDP Regional Bureau for Asia and Pacific will provide the over-all coordination and facilitation for the MTR process with necessary guidance from the UNDP Principal Policy and Technical Advisor for REDD+. The Indonesia Country Office will provide the direct supervision of the MTR team and assist with the procurement, logistics and other related support for the MTR process at the country level. The UNORCID office will provide necessary documentation and other relevant information, and will assist the MTR process as needed.

26. The final MTR report will be submitted to the Chair of UNDG for sharing and relevant discussions with Government of Indonesia representatives.

3.1. Estimated MTR Working Days and Schedule

27. Estimated Work Days: 30 days per consultant of the two persons MTR consultant Team with the MTR process starting in October with the Report finalization latest by November 2014.

It is proposed that the MTR Team schedule the first 10 work days of the consultancy to be used for the preparation of the Inception Report; 18 days for the MTR report and 2 days for appropriate revisions of final draft MTR Report following review by and feedback from relevant stakeholders.

3.2 MTR Team

28. The MTR Team should consist of 2 independent evaluators – an evaluation team leader and an evaluation specialist. The TOR of the MTR consultants is attached separately.

INCEPTION REPORT – Annex 1

Section	Notes	Data Sources	Max. number of pages
1. Introduction	Brief introduction to UNORCID and MTR		1
2. UNORCID background	Summarise the UNORCID context and rationale. How has the UNORCID context changed since its design?	Background information on context	2
3. Review of UNORCID design	Summary of UNORCID design strengths and weaknesses. Complete the Template for assessment of the quality of UNORCID design	Relevant UNORCID document and revisions	1
4. Reconstructed Theory of Change	The Theory of Change should be reconstructed, based on relevant UNORCID documentation. It should be presented with one or more diagrams and explained with a narrative.	UNORCID document narrative, logical framework and budget tables. Other project related documents.	2 pages of narrative + diagram(s)
5. MTR framework	The MTR framework will contain: <ul style="list-style-type: none"> Detailed review questions (including new questions raised by review of UNORCID design and ToC analysis) and indicators Data Sources presented as a matrix, showing questions, indicators and data sources. 	Review of all UNORCID related documents	4
6. MTR schedule	<ul style="list-style-type: none"> Revised timeline for the overall MTR (dates of travel and key MTR milestones) Tentative programme for relevant visits and in-country travel 	Discussion on logistics.	2
7. Distribution of responsibilities among within the MTR team	Distribution of roles and responsibilities among MTR consultants (may be expanded in Annex)		1
6. Annexes	A- List of individuals and documents consulted for the inception report B- List of documents and individuals to be consulted during the MTR phase		

MAIN REPORT – Annex 2

The MTR report should be approximately 10,000 – 12,000 words, excluding executive summary and annexes.

Executive Summary	Overview of the main findings, conclusions and recommendations of the MTR. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each MTR parameter should be presented here (with a summary ratings table), as well as the most important lessons (Maximum 4 pages)
I. Introduction	A very brief introduction, mentioning the UNORCID’s duration, cost, implementing partners and objectives of the MTR.
II. The MTR	Objectives, approach and limitations of the MTR
III. UNORCID	
A. Context	Overview of the broader institutional and country context, in relation to UNORCID’s objectives, including changes during implementation
B. Objectives and components	
C. Target areas/groups	
D. Milestones/key dates in UNORCID design and implementation	
E. Implementation arrangements	
F. UNORCID financing	Estimated costs and funding sources
G. UNORCID partners	
H. Changes in design during implementation	
I. Reconstructed Theory of Change of UNORCID	
IV. MTR Findings	
A. Relevance	This chapter is organized according to the MTR criteria presented in the TOR and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of MTR criterion.
B. Effectiveness: Attainment of UNORCID objectives and results; Direct outcomes from reconstructed TOC	
C. Likelihood of Impact	
D. Sustainability and up-scaling	
E. Efficiency	
F. Cross cutting issues	
V. Conclusions and Recommendations	
A. Conclusions	This section should summarize the answers to the key MTR questions. The conclusions section should end with the overall assessment of UNORCID. Avoid presenting an “executive summary”-style conclusions section. Conclusions should be cross-

	referenced to the main text of the report (using the paragraph numbering). The overall ratings table should be inserted here.
B. Recommendations and lessons learned	The recommendations will be addressed to the different stakeholders and prioritized. They will be evidence-based (with references to the relevant findings in the report), relevant, focused, clearly formulated and actionable. Lessons learned should be anchored in the conclusions of the MTR. In fact, no lessons should appear which are not based upon an explicit finding of the MTR.

Important note on report formatting

Reports should be submitted in Microsoft Word .doc or .docx format. Use of MS Word Styles (Headings etc.), page numbering and numbered paragraphs is compulsory from the very first draft report submitted.