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Project-level Monitoring

GUIDANCE FOR CONDUCTING MIDTERM REVIEWS OF UNDP-SUPPORTED, GEF-FINANCED PROJECTS

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Acknowledgements: Stephanie Ullrich (UNDP-GEF Fellow), Nancy Bennet, Ciara Daniels, Jessie Mee, Margarita Arguelles.

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Acronyms and abbreviations

CEO	Chief Executive Officer
CO	UNDP Country Office
CSO	Civil Society Organization
EA	Enabling Activity (project type)
ERC	UNDP Evaluation Resource Centre
FSP	GEF full-sized project
GEF	Global Environment Facility
GEF IEO	GEF Independent Evaluation Office
M&E	Monitoring and Evaluation
MSP	GEF medium-sized project
MTR	Midterm Review
NGO	Non-Governmental Organization
OFP	GEF Operational Focal Point
PA	UNDP-GEF Programme Associate
PIF	Project Identification Form
PIMS	UNDP-GEF Project Information Management System
PIR	Project Implementation Report
POPP	UNDP Programme and Operations Policies and Procedure
RTA	UNDP-GEF Regional Technical Adviser
TE	Terminal Evaluation
ToR	Terms of Reference
TT	GEF Tracking Tools
UNDP	United Nations Development Programme
UNDP IEO	UNDP Independent Evaluation Office

Introduction and Summary Highlights

This document provides guidance for undertaking Midterm Reviews (MTRs) of United Nations Development Programme (UNDP) supported projects that have received grant financing from the Global Environment Facility (GEF).[1] The main objectives of this guidance are to standardize the approach to undertaking MTRs and to clarify the roles and responsibilities of various parties involved in the MTR process. This guidance is primarily addressed to consultants carrying out MTRs, Project Teams, UNDP Country Offices and/or the projects' Commissioning Unit who are most directly involved in organizing MTRs.

This guidance is divided into three parts. The first section outlines the MTR process. The second section explains the roles and responsibilities of key participants in the MTR cycle. The final section details the core expected requirements of the MTR. The Annexes include a glossary of terms, MTR Terms of Reference (ToR) templates, the Project Information Table, the co-financing table, a data request checklist, a sample process of assessing progress towards results, a checklist for gender sensitive analysis, a recommendations table template, an audit trail template, a MTR report content checklist, and a management response template.

Summary Highlights:

MTRs are primarily a monitoring tool to identify challenges and outline corrective actions to ensure that a project is on track to achieve maximum results by its completion. The primary output/deliverable of a MTR process is the MTR report.

As outlined in the GEF Monitoring and Evaluation Policy[2], MTRs are a **mandatory requirement for all GEF-financed full-sized projects (FSP)**.[3] MTRs are **not mandatory for GEF-financed medium-sized projects (MSP)[4]** but should be undertaken, at the discretion of the Project Board, when the project is not performing well and could therefore benefit from an independent review. The MTR for a MSP can be undertaken according to this guidance or can follow a more simplified approach depending on the project circumstances.

It is not mandatory to include MTRs in UNDP evaluation plans (country evaluation plans, regional bureau evaluations plans, or corporate evaluations plans). Therefore, the MTR does not need to be made publically available by posting the report on the UNDP Evaluation Resource Center (ERC)[5].

A thorough MTR can also lay the foundation for a strong Terminal Evaluation (TE). While both the MTR and TE processes are undertaken by independent consultants and the MTR and TE cycle are very similar, the focus of the review and evaluation process are not the same. See Box 1 for further details on the differences between MTRs and TEs.

[1] GEF Trust Fund, Least Developed Country Fund (LDCF), Special Climate Change Fund (SCCF), and Nagoya Protocol Implementation Fund (NPIF)
[2] http://www.thegef.org/gef/Evaluation%20Policy%202010
[3] GEF-financed projects with budgets of $2 million or more are full-sized projects.
[4] GEF-financed projects with budgets of less than $2 million are medium-sized projects.
[5] UNDP ERC is an on-line based Information Management System, which facilitates UNDP's effort to strategically plan and effectively use evaluations for accountability, management for results, and knowledge management: http://erc.undp.org

Box 1. Comparing the MTR and TE Requirements

	Midterm Review	Terminal Evaluation
Mandatory for:	Full-sized projects	All projects except for expedited Enabling Activities (EAs)[6]; for which TEs are optional
Focus	• Assessment of **progress** towards results • Monitoring of **implementation** and **adaptive management** to improve outcomes • Early identification of **risks to sustainability** • Emphasis on **supportive recommendations**	• Verification and assessment of implementation and **results** • Identification of project's successes in order to create **replicability** • Actions necessary for consolidation and **sustainability of results** • Emphasis on **Lessons learned** • Improve design of other future projects
Timeframe	The MTR report must be submitted with the 3rd PIR	Carried out during the period 6 months before to 6 months after project operational closure
Values & Emphasis	Independent[7]; emphasis on a participatory and collaborative approach; opens opportunities for discussion and change in project, as needed	Independent; an assessment of results; participatory and collaborative approach, with emphasis on the accountability and learning functions of evaluation
Ratings provided	• Progress Towards Results (by Outcomes) • Project Implementation & Adaptive Management • Sustainability	• Monitoring and Evaluation • GEF Partner Agency & Executing Agency/ Implementing Partner Execution • Outcomes (Relevance, Effectiveness, and Efficiency) • Sustainability • Impact • Overall Project Results
Budget[8]	$30,000 - $40,000	$30,000 - $50,000
Management Response	Yes	Yes
UNDP Evaluation Plans	Not mandatory to include in UNDP evaluation plan (country, regional or corporate)	Mandatory to include in UNDP evaluation plan (country, regional, or corporate, depending on the project)
Final report Quality Reviewed	No	Yes, by UNDP IEO before submitted to the GEF IEO
Publically available?	Not mandatory to post to the ERC	Mandatory to post to the ERC

The Terms of Reference for the MTR should be drafted and advertised before the submission of the 2nd Project Implementation Report (PIRs)[9] as the MTR report must be **completed and submitted to the GEF Secretariat with the 3rd PIR. If the final MTR report is not available in English at this time, the MTR report must be translated into English within two months of submitting the 3rd PIR.**

[6] GEF-financed projects with budgets of less than $500,000 are considered expedited Enabling Activities (EA).
[7] Independence indicates that the consultants must be non-UNDP and non-GEF personnel, and must not have had any part in the project design or implementation, including the writing of the Project Document. See pg. 4 for further clarification.
[8] These are budget range estimates for FSPs, and depend on the project's scope. The MTR budget should be a part of the project budget.
[9] PIRs are mandatory annual project implementation reports. The first PIR is due one full year after Project Document signatures and are usually submitted to the GEF in September to monitor the project's progress and implementation.

Therefore, for every GEF-financed full size project, the 3rd PIR, the MTR report, and the corresponding GEF Tracking Tool will be submitted to GEF Secretariat in the same calendar year. As a mandatory monitoring tool for full size projects, MTRs are submitted to the GEF Secretariat – not to the UNDP Independent Evaluation Office (UNDP IEO) or the GEF Independent Evaluation Office (GEF IEO).

For projects that are **jointly implemented by two or more GEF Partner Agencies**, the MTR will be jointly conducted by the relevant Agencies and this should be specified in the M&E plan included in the Project Document. This M&E plan should clarify which GEF Partner Agency will lead the MTR; typically, that Agency will be the one that supports the largest GEF grant allocation. The lead Agency will be responsible for developing the ToR for the MTR in full consultation with the other GEF Partner Agency(ies) and contracting and procurement of the MTR team. The GEF requires that one MTR be submitted for each GEF-financed project regardless of how many GEF Partner Agencies are involved in supporting the project.

For further information, please see:

1. The 2012 Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-financed Projects;[10]

2. The 2009 revised UNDP Handbook on Planning, Monitoring and Evaluating for Development Results[11] which provides UNDP programming units with practical guidance and tools to strengthen results-oriented planning, monitoring, and evaluation in UNDP;

3. The GEF Monitoring and Evaluation Policy[12] (revised version approved by the GEF Council in November 2010). This policy mandates the strengthening of the evaluation role of the GEF Operational Focal Points.

[10] http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf
[11] http://web.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf
[12] http://www.thegef.org/gef/Evaluation%20Policy%202010

Chapter 1: Midterm Review Process

This section outlines the phases of the Midterm Review process. These are provided to help with the planning of the MTR process and clearly outline **what** must be done in each phase. Chapter two outlines **who** is responsible for undertaking these tasks. The MTR phases are very similar to the TE phases.

The MTR should follow a collaborative and participatory approach ensuring close engagement with key participants including the Commissioning Unit, the RTA, the involved UNDP Country Office(s), government counterparts (GEF Operational Focal Point (OFP)), the MTR team, and other key stakeholders. Detailed methodology and data collection methods should be included in the Inception Report developed by the MTR team.

1.1 Midterm Review Timing and Budget

The Commissioning Unit (See Box. 2 Who is the Commissioning Unit?) starts the MTR process by preparing the MTR ToR. **The Terms of Reference for the MTR should be finalized and advertised before the submission of the 2nd Project Implementation Report (PIR)**[13] as the MTR **report must submitted to the GEF Secretariat with the 3rd PIR.**

If the final MTR report is not available in English at this time, the MTR report must be translated into English within two months of submitting the 3rd PIR. The MTR process is not considered complete until the MTR report is in English and the management response has been completed (see pg. 7 for further guidance on the management response). Ideally, the MTR process should coincide with the disbursement of 50% of the project's resources, though this may not always be the case.

The Commissioning Unit should ensure sufficient funds are available in the project budget for the MTR. The costs of undertaking a MTR varies depending on factors specific to the project, including its size (MSP or FSP); its scope (country-specific or regionally/globally focused); and the number of sites to be reviewed. Typical costs for the MTR of a single-country FSP are between **$30,000 and $40,000,** depending on size and scope of the project.

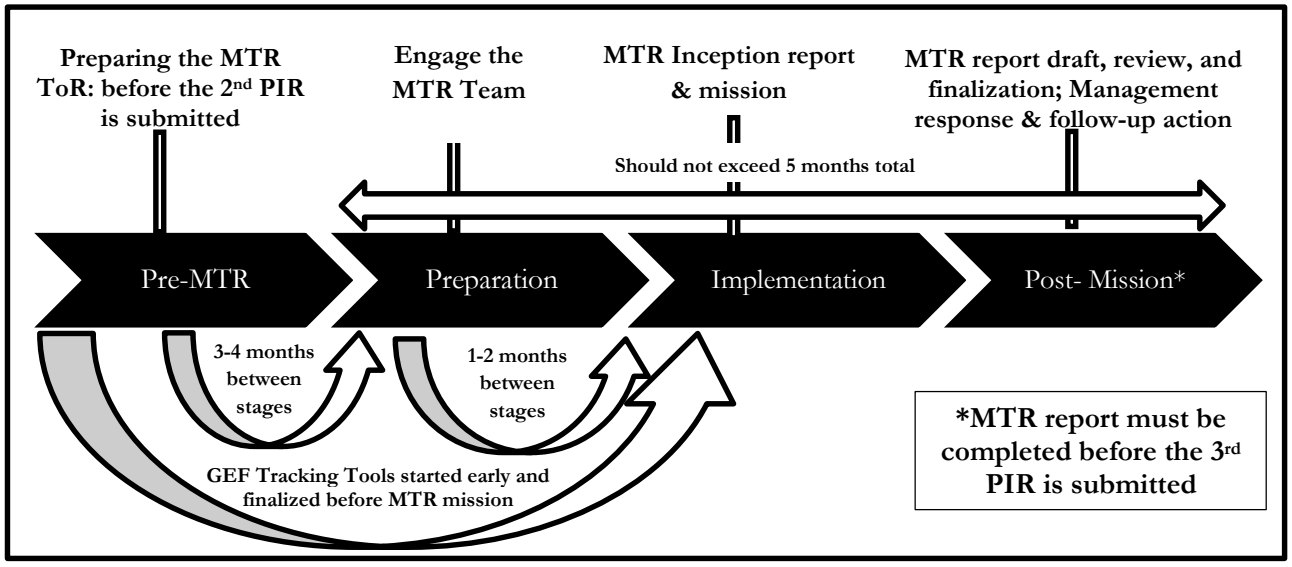
1.2 Midterm Review Phases

The MTR process is divided into four phases, as shown in Figure 1. After the consultants are hired, the entire MTR process should not exceed 5 months:

I. **Pre-MTR:** preparation and advertisement of the ToR, and preparation of the mandatory GEF Tracking Tools
II. **Preparation**: procurement of the MTR team, preparation for the MTR mission, provision of project documents (including the finalized GEF TTs) to the MTR team
III. **Implementation:** MTR inception report, the MTR mission, and presentation of the initial MTR findings with key stakeholders
IV. **Post-Mission:** the drafting, review and finalization of the MTR report; the preparation of the management response; optional concluding stakeholder workshop; and implementation of follow-up actions

[13] See footnote 9.

Figure 1. MTR Phases



1. PRE-MTR PHASE: MTR Terms of Reference (ToR) and GEF Tracking Tools (TT)

The primary activities of this phase include the preparation and advertisement of the MTR ToR and the preparation of the GEF Tracking Tools.

MTR TERMS OF REFERENCE

A fairly long lead time (suggested three to four months) is necessary to complete the consultant hiring process. Ideally, the MTR team should be selected and contracted four to 12 weeks before the planned MTR missions and field visits, to ensure that the MTR team is available and that stakeholders are given sufficient notice.

Two standard MTR ToR templates have been developed – one formatted for the UNDP Procurement website (procurement-notices.undp.org), and one formatted for the UNDP Jobs website (jobs.undp.org) – and **should be used for all MTRs of full-sized projects**; these templates are in Annex 3 and Annex 4, respectively. The MTR ToR should reference this Guidance (attached or hyperlinked). If a medium-sized project will conduct a MTR, the standard ToR template can also be used if appropriate.

The responsibility of completing the standard MTR ToR template resides with the Commissioning Unit.

Box 2. Who is the Commissioning Unit?

Project Type	Associated Commissioning Unit
Country-specific project	UNDP Country Office
Regional project	The lead UNDP Country Office or a regional coordination body (please confirm with the UNDP-GEF team in the region)
Jointly-implemented project	The lead GEF Partner Agency, as mutually determined by the GEF Partner Agencies involved and indicated in the Project Document
Global project	UNDP-GEF Directorate or the lead UNDP Country Office

GEF TRACKING TOOLS (TT)

The GEF Secretariat has developed Focal Area Tracking Tools (TT) for most GEF focal areas. These TTs allow the GEF to track progress made by GEF-financed projects toward global targets set out in the GEF results framework. The TTs are important evidence for the MTR teams to take into account when reviewing progress toward results, and must be finalized and provided to the MTR Team before the MTR mission takes place. **The GEF will not accept an MTR report without the corresponding completed GEF Tracking Tool**.

For FSPs, the required GEF TT must be prepared and submitted to the GEF at CEO endorsement (i.e. with the Project Document), midterm of the project cycle (i.e. with the MTR report), and during the closing phase of the project (i.e. with Terminal Evaluation report).

For MSPs, any project that is CEO approved after December 31, 2010 is expected to submit TT at CEO approval and at closing before the TE mission.

Box 3 outlines the general TT requirements under each of the GEF focal areas, which apply to MSPs and FSPs.[14] As these requirements could change, please consult the current TT guidance on the GEF website.[15]

Box 3. General Rules of GEF Focal Area Tracking Tools

Focal Area	Names of Tracking Tools	Which Projects?[16]
Biodiversity	METT & Financial Sustainability Scorecard (FSC) Mainstreaming & Invasive Alien Species Biosafety	Projects receiving GEF final approval after 1 July 2002 (GEF-3 and newer) (exception: FSCs are required of GEF-4 and newer projects)
Chemicals	POPs TT	Projects receiving GEF final approval after 1 July 2002 (GEF-3 and newer)
Climate Change Adaptation	AMAT (Adaptation Monitoring and Assessment Tool)	Projects receiving GEF final approval after July 1, 2010 (GEF-5 and newer)
Climate Change Mitigation	Climate Change Mitigation (CCM) TT	Projects receiving GEF final approval after 1 July 2002 (GEF-3 and newer)
International Waters	International Waters TT	Projects receiving GEF final approval after 1 July 2002 (GEF-3 and newer)
Land Degradation	LD Tracking Tool	Projects receiving GEF final approval after July 1, 2010 (GEF-5 and newer)
Ozone Layer	*No TT*	*None*
Sustainable Forest Management-REDD	SFM/REDD+ Tracking Tool	All GEF-5 (July 1, 2010 to June 30, 2014) and newer

The GEF TTs are to be completed by the Project Team, a research organization, or other project partners with the necessary technical capacity, and this responsibility should be clearly stated in the Project Document. As the GEF Tracking Tool must be completed before the MTR takes place, the MTR consultant(s) should **NOT**

[14] EAs are not required to complete TTs.
[15] http://www.thegef.org/gef/tracking_tools
[16] TT requirements may vary based on exact endorsement of the project.

be completing the GEF Tracking Tool. The consultants should, however, be informed by the results reported in the TT.

The preparation and finalization of a GEF TT should be planned well in advance; depending on the type of GEF TT, this process could take up to four months, including the technical review by the appropriate UNDP-GEF RTA. **The finalized TT that is sent to the GEF Secretariat must be in English.**

2. PREPARATION PHASE: Engaging and briefing the MTR team

SELECTING AND ENGAGING A MTR TEAM

The MTR team should include one or two independent consultants. "Independent" means that the consultant(s) must not have been involved in designing, executing or advising on the project that is the subject of the review. This is to ensure objectivity and to avoid a real or a perceived conflict of interest. Therefore, the consultant(s) that make up the MTR team should not have been involved in the preparation of the project concept (i.e. PIF) or the Project Document or in the execution of any project activities, and should not be benefiting from the project activities in any way. For the same reason, it is advised that the consultant(s) who undertakes the MTR should not undertake the terminal evaluation though this is not strictly prohibited. Please see the Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-financed Projects[17] for more information on hiring independent consultants to undertake terminal evaluations.

For FSPs, especially regional projects, it is recommended to engage two consultants: a team leader and team specialist. The team members should be experienced professionals who understand the subject matter of the project under review, and are knowledgeable about UNDP and the GEF. The team leader should have international experience with similar projects, preferably GEF-financed projects and/or projects in the country or region of focus. The team specialist could be a consultant with specific technical expertise relevant to the project, or a national consultant with a relevant technical background who can provide expert insight on the national context. When selecting MTR teams, it is important to keep in mind the high priority that UNDP places on gender balance.

When there is a question as to the independence and qualifications of a potential MTR team member, please consult with the UNDP-GEF team – either the RTA or the UNDP-GEF Directorate. More information on required expertise can be found in the standard MTR ToRs in Annexes 3 and 4.

The Commissioning Unit will select a MTR team using established UNDP procurement protocols, a competitive selection process[18] for team selection, ensuring transparency, impartiality and neutrality. Consultancy announcement should be done locally, through the UNDP Country Office (CO) web page, and internationally, through for instance the UNDP Jobs and UNDP Procurement Notices[19] web pages. The UNDP IEO maintains a roster of evaluation consultants, for use by UNDP personnel, which can be used to identify candidates.[20] The Commissioning Unit should check the references of the consultants before final contracting and should seek feedback on the short-list from the UNDP-GEF PA.

BRIEFING THE MTR TEAM

After the consultant(s) are selected and before the MTR mission, and in order to facilitate the MTR team's

[17] http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf
[18] For additional information on candidate selection, see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, pg 152 & 153.
[19] http://jobs.undp.org/ and http://procurement-notices.undp.org/
[20] This roster can be accessed from the Evaluation Resource Center: http://erc.undp.org/

documentation review, the Project Team should compile and provide to the Commissioning Unit a 'project information package' that brings together the most important project documents for use by the MTR team. Included in the package should be a brief explanatory note identifying the package contents and highlighting important documents.

The project information package should include, amongst other documents, the completed GEF Tracking Tools, PIRs, the Project Document, the project inception report, quarterly progress reports, Project Board meeting minutes, and financial data, including co-financing data. A project information package list is available in Annex 3 (ToR Annex A), and an extended sample checklist of this list is included in Annex 7.

EVALUATION ETHICS[21]

UNDP and GEF take seriously the importance of having competent, fair and independent consultants carry out MTR and TEs. Assessments must be independent, impartial and rigorous, and the consultants hired to undertake these assessments must have personal and professional integrity, and be guided by propriety in the conduct of their business. The ToR for MTRs should explicitly state that UNDP-GEF MTRs are conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation' and the GEF and UNDP M&E policies.

Evaluation ethics also concern the way in which reviews are carried out, including the steps the MTR team should take to protect the rights and confidentiality of persons interviewed. The MTR team should clarify to all stakeholders interviewed that their feedback and input will be confidential. The final MTR report should not indicate the specific source of quotations or qualitative data in order to uphold this confidentiality.

A signed 'Code of Conduct' form must be attached to the MTR team contract indicating that the team member agrees to the ethical expectations set out in Annex 3 (ToR Annex D).

3. IMPLEMENTATION PHASE: MTR Inception report and mission

MTR INCEPTION REPORT

The MTR team should prepare a MTR inception report approximately 2-4 weeks prior to the MTR mission. The MTR inception report should outline the MTR team's understanding of the project being assessed and the methodology(ies) the team will use to ensure the data collected is credible, reliable and useful.

The inception report should also include a clear overview of the midterm review approach, including:

- The purpose, objective, and scope of the review
- The MTR approach including a summary of the data collection methodologies and the criteria on which these methodologies were selected. For example, documentation reviews, stakeholder interviews, site visits, questionnaires, focus groups and other participatory techniques for information gathering
- The principles and criteria against which the MTR team is selecting interviewees and field site visits
- Any limitations of the MTR
- A proposed work plan including a schedule of tasks, activities and deliverables of the MTR (including a proposed detailed MTR mission plan)
- A MTR evaluative matrix, specifying the main review criteria, and the indicators or benchmarks against which the criteria will be assessed. See Annex 3 (ToR Annex C) for a MTR evaluative matrix template.

The MTR inception report should be circulated to the Commissioning Unit, the Project Team, the GEF

[21] For details on the ethics in evaluation, see UNEG Ethical Guidelines.

Operational Focal Point, and key stakeholders that will participate in the MTR, as relevant. The MTR mission will need to be formally agreed upon with the Commissioning Unit, but the practical aspects, such as logistics for local travels, will benefit from assistance from the Project Team.

MTR INTERVIEWS & SITE VISITS

Depending on the nature and scope of the project, it is typically expected that the MTR mission will include interviews with key stakeholders and visits to relevant project field-based activity sites, as appropriate and feasible. The MTR team will undertake interviews and site visits according to the detailed MTR mission plan in the MTR Inception report.

The decision on which key stakeholders should be interviewed and which sites will be visited should be made jointly by the Commissioning Unit, Project Team, and MTR team. Interviews should target a diverse array of stakeholders, including project beneficiaries, government representatives, civil society organizations, academia, the private sector, local government officials, and national agency officials including the GEF OFP. Interview schedules should be paced out to ensure that the MTR team has adequate time for writing up interview notes each day. Typically 2-4 interviews may be conducted per day, depending on logistical requirements of travel, etc.

The MTR mission should be planned far enough in advance to enable interviews to be properly organized, especially to request meetings with senior Ministry officials. The Commissioning Unit should assist the MTR team in setting up these interviews, and providing translations services, if needed.

When the MTR team is conducting interviews and site visits, **it is not appropriate for UNDP staff from the UNDP Country Offices or regional offices to participate in the interviews or act as translators.[22] It is also recommended that the Project Team members not be present or act as translators either, as appropriate and feasible.**

MISSION WRAP-UP MEETING

At the end of the MTR mission, the MTR team should present a summary of initial findings to the Commissioning Unit, the Project Team and other stakeholders in a mission wrap-up or other format as appropriate.

4. POST-MISSION PHASE: Draft, Review & Finalization of MTR Report; Management Response and Follow-up action

Within 3 weeks of the MTR mission, the MTR team should submit a draft Midterm Review report to the Commissioning Unit in accordance with the agreed deliverable timelines specified in the ToRs and contract (see Figure 3 for the steps and timing of the MTR). Guidance for the MTR report contents is provided in Annex 3 (ToR Annex B).

MTR REPORT REVIEW PROCESS

The Commissioning Unit is responsible for coordinating a review of the draft MTR report. The review process is designed to highlight factual errors, omissions, or errors in analysis, and to ensure that the MTR report covers all requirements outlined in the ToR. All stakeholders should be given the opportunity to comment on the draft

[22] However, the MTR team should include the involved UNDP Country Office(s), the responsible RTA(s), and the Project Team as interviewees.

MTR report and to provide additional information relevant to the MTR team's assessment of results. **As an independent body, the MTR team has the prerogative to develop its own conclusions, ratings and recommendations.**

The Commissioning Unit will collate comments on the report and send them to the MTR team.

The MTR Team is required to provide an 'audit trail' listing the comments received and how they have or have not been addressed in the final Midterm Review report (see Annex 11 for an Audit Trail Template). The audit trail must be submitted to the Commissioning Unit with the final draft of the MTR report. In order to protect the rights and confidentiality of persons interviewed, the names of the persons interviewed should not be included in the audit trail and must never be connected to feedback provided.

The Commissioning Unit and the UNDP-GEF RTA are required to sign a clearance form to note their approval of the final MTR report; the report is not considered final without the necessary signatures. This approval signifies that the report has been satisfactorily completed and responds to the ToR. It does not necessarily signify 'agreement' with the content (if there is disagreement with the findings, the management response is the tool for addressing this). See Annex 3, (ToR Annex F) for the clearance form.

As the GEF Secretariat will only accept MTR reports if they are in English, the final MTR report must be available English. If applicable, the Commissioning Unit must ensure the final report is available in a language widely shared by national stakeholders to ensure their adequate involvement in the MTR process and that the final report is also available in English. Translations must be planed for in advance as this process can take between 4 and 6 weeks.

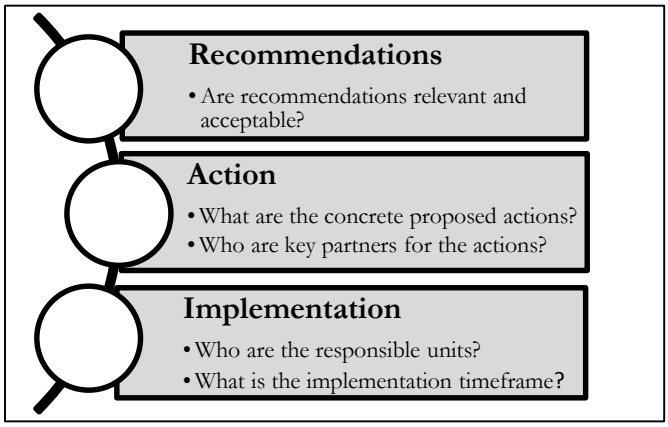
MANAGEMENT RESPONSE

While the draft MTR report is being circulated for review, the Commissioning Unit and Project Team should draft the management response to the MTR.[23] The purpose of a MTR management response is to outline how the Project Team and other stakeholders, as appropriate, will respond to the recommendations included in the MTR report. In addition, if the Project Team or other stakeholders involved in the project disagree with any of the MTR findings, this should be recorded in the management response.

Prior to their completion, management responses for MTRs should be reviewed and commented on by key project partners including the RTA and the OFP.

Figure 2. Management Response

A template for management responses is included as Annex 13; the template is intended to facilitate the preparation of the response. The MTR report and management response may be uploaded to the UNDP Evaluation Resources Center but this is not mandatory. The MTR report (in English) must be submitted to the relevant UNDP-GEF team, for onward transmission to the GEF Secretariat.



The Project Manager is required to brief the Project Board on the main findings and recommendations of the MTR, and to ensure the management response actions are discussed with and approved by the Project Board.

The MTR cycle is not considered complete until the final MTR report and management

[23] The management response can alternatively be created after the MTR report is finalized, as appropriate.

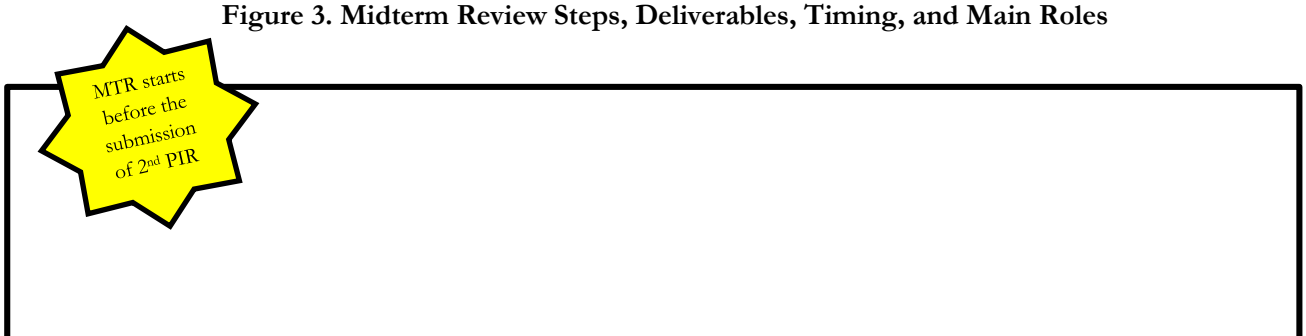
response have been approved by the Commissioning Unit and the UNDP-GEF RTA, the MTR report is available in English.

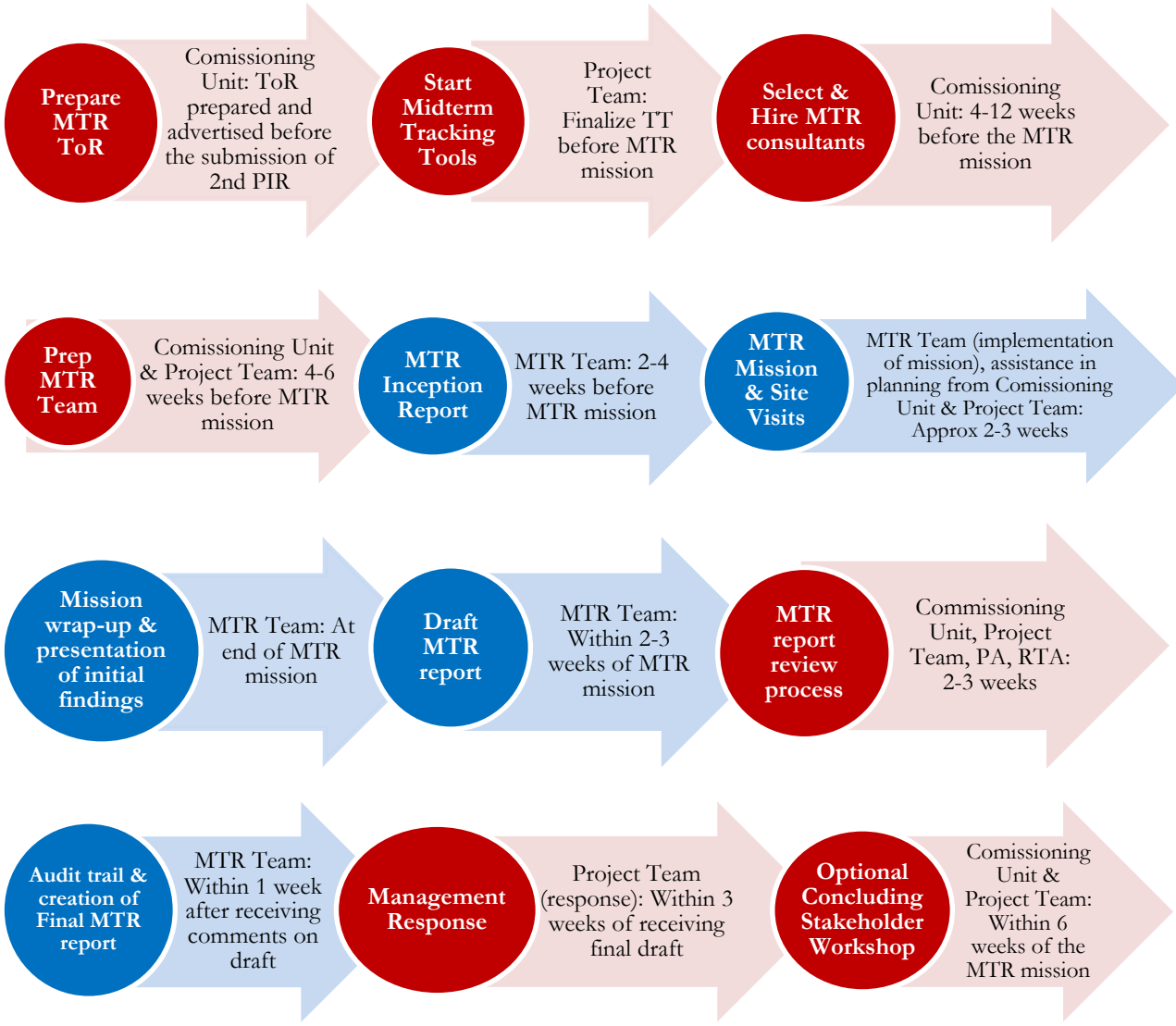
CONCLUDING STAKEHOLDER WORKSHOP

The Commissioning Unit and Project Team can conclude the MTR process with an optional concluding stakeholder workshop. The purpose of the workshop is to discuss the key findings and recommendations of the MTR report, and the key actions that will be taken in response to the MTR. Those involved in the MTR process (including interviewees, project stakeholders, etc.) should be invited to participate in this concluding workshop (consultants from the MTR team can be present, but this is not mandatory).

This workshop is optional, however it is encouraged in order to relay MTR findings to stakeholders and to increase accountability on the management response follow-up actions.

Figure 3. Midterm Review Steps, Deliverables, Timing, and Main Roles





Red	Relevant organizing roles: • Commissioning Unit • UNDP-GEF Regional Technical Adviser (RTA) • UNDP-GEF Regional Programme Associate (PA) • Project Team
Blue	Midterm Review Team

MTR complete before 3rd PIR!

Chapter 2: Roles and Responsibilities

The roles and responsibilities of key actors in the MTR cycle are outlined in this section. This includes the roles and responsibilities of: Commissioning Unit, UNDP-GEF Regional Technical Adviser (RTA) based in the region, UNDP-GEF Programme Associate (PA) based in the region, Project Team, Midterm Review team, and GEF Operational Focal Point (OFP), and Project Board.

2.1 Commissioning Unit Roles and Responsibilities

Commissioning Unit's Main Objective: Overall coordination of the MTR process, including procurement and contracting	
PHASE	**RESPONSIBILITIES**
Pre-MTR	1. Ensure that sufficient funds have been allocated for conducting the MTR as per the M&E plan included in the Project Document (if project is jointly-implemented, ensure responsibilities for MTR are clear) 2. Support the Project Team in preparation of GEF TTs in advance of the advertisement of the MTR ToR 3. Prepare the MTR ToR that aligns with the minimum standards for a MTR ToR, as outlined in this guidance (the drafting and advertisement of the MTR ToR should occur before the submission of the 2nd PIR); send to PA for comment and final approval 4. Advertise the ToR
Preparation	1. Select the MTR team following UNDP procurement standards; obtain the approval from the UNDP-GEF team in the region prior to making the offer 2. Assist the MTR team with collecting co-financing data by sending the co-financing table to each of the co-financers, if necessary 3. Provide the MTR team with the project information package 4. Facilitate the finalization of GEF TTs
Implementation	1. Approve MTR inception report (formally agree on MTR mission) 2. Share inception report with GEF OFP and relevant stakeholders 3. Assist in sending formal requests for interviews for the MTR mission as necessary 4. Participate in wrap up meeting in which the MTR team presents initial findings
Post-mission	1. Brief the GEF OFP at the end of the MTR mission 2. Coordinate the MTR report review and comment process; send report with comments to the MTR team 3. Review final MTR report, sign the MTR clearance form in Annex 3 (ToR Annex F), and send to RTA for their final approval and signature 4. Make arrangements for translations of the draft and/or final MTR report into English (if necessary) within 2 months of submitting the 3rd PIR 5. Work with the Project Team to prepare a management response (this can be done at the same time as the circulation of the draft MTR report) 6. Ensure RTA and Project Board reviews and approves the management response (this can be done at the same time as the MTR report is being finalized) 7. Host the concluding stakeholder workshop (optional) 8. Approve the final payment to the MTR team 9. If new indicators or revisions to existing indicators are proposed by the MTR, decide with the Project Board if those changes should be approved and added to the project's LogFrame and that systems are in place to monitor new indicators 10. Decide if the MTR report and management response should be posted to the ERC (not mandatory) 11. Ensure that MTR recommendations are properly reflected in the subsequent Annual Work Plan and budget

2.2 UNDP-GEF Regional Technical Advisor Roles and Responsibilities

RTA's Main Objective: Provide technical support to the MTR process through quality assurance and accept the final MTR report	
PHASE	**RESPONSIBILITIES**
Pre-MTR	None
Preparation	1. Quality assure the GEF Tracking Tools
Implementation	1. Be available for a Skype interview with MTR team before the MTR mission, if requested
Post-mission	1. Do a quality assurance review on the draft MTR report to look for factual errors and gaps in analysis; provide comments to the Commissioning Unit and/or MTR team 2. Sign the MTR report clearance form in Annex 3 (ToR Annex F) to accept the final MTR report 3. Quality assure the management response

2.3 UNDP-GEF Programme Associate Roles and Responsibilities

PA's Main Objective: Support the MTR process in procurement, review of the draft report, and follow up action	
PHASE	**RESPONSIBILITIES**
Pre-MTR	1. Ensure that the MTR ToR prepared by the Commissioning Unit aligns with the minimum standards for a MTR ToR, as outlined in this guidance; provide feedback to improve the ToR, as necessary (the drafting and advertisement of the MTR ToR should occur before the submission of the 2nd PIR) 2. Work with the Commissioning Unit to ensure that the GEF Tracking Tools are fully drafted and sent to the RTA before the advertisement of the MTR ToR
Preparation	1. Assist the Commissioning Unit with MTR consultant(s) qualification review, as necessary
Implementation	1. Be available for a Skype interview with MTR team before the MTR mission, if requested
Post-mission	1. Review the draft MTR report using the Report Content Review Checklist (Annex 12) to ensure that the report complies with the requirements laid out in the ToR; provide comments and the completed Checklist to the RTA 2. If changes to LogFrame are approved, ensure that the Development Objective (DO) section of the 3rd PIR is revised accordingly 3. Post the completed MTR report and management response (both in English) to PIMS

2.4 Project Team Roles and Responsibilities

Project Team's Main Objective: Provide the MTR team with project information and assist with MTR logistics	
PHASE	**RESPONSIBILITIES**
Pre-MTR	1. Prepare relevant GEF Tracking Tools
Preparation	1. Compile project information package to provide to the Commissioning Unit 2. Assist with logistics (make sure itineraries are set for MTR mission and stakeholders are informed with sufficient notice) 3. Respond to review of GEF TT and finalize it with assistance from RTA
Implementation	1. Assist with logistics of MTR mission 2. Support MTR interviews if requested 3. Participate in wrap up meeting in which the MTR team presents initial findings
Post-mission	1. Review MTR report; look for inaccuracies, and provide comments to the MTR team 2. Brief the Project Board on the main findings and recommendations of the MTR 3. Draft the management response, and obtain input/feedback from the Commissioning Unit and RTA 4. Ensure the management response actions are discussed with and approved by the Project Board 5. Participate in optional concluding stakeholder workshop 6. Integrate MTR recommendations into subsequent Annual Work Plan 7. Implement management response actions, where relevant

2.5 MTR Team Roles and Responsibilities

MTR Team's Main Objective: Uphold contractual obligations outlined in the MTR Terms of Reference	
PHASE	**RESPONSIBILITIES**
Pre-MTR	None
Preparation	1. Review evaluation ethics and ensure steps to protect the rights and confidentiality of persons interviewed for the MTR 2. Review this MTR guidance, and other relevant UNDP and/or GEF guidance 3. Review project information package, including GEF Tracking Tools from CEO endorsement and midterm 4. Work with the Project Team/Commissioning Unit to ensure appropriate timing of the review mission
Implementation	1. Prepare MTR inception report, including a detailed plan of the mission with an interview schedule, and provide it to the Commissioning Unit no later than 2 weeks before the MTR mission 2. Conduct the MTR mission 3. Have a mission wrap-up meeting with Project Team/Commissioning Unit to request additional info/present initial findings
Post-mission	1. Complete and submit the first draft of the report to the Commissioning Unit within 3 weeks after mission 2. After receiving initial comments on MTR report, provide an "audit trail" to create the revised final MTR report within 1 week of comments; send final report to the Commissioning Unit

2.6 GEF Operational Focal Point Roles and Responsibilities

GEF OFP's Main Objective: Keep all national stakeholders (particularly the CSOs) involved in and fully informed on the Midterm Review Process	
PHASE	**RESPONSIBILITIES**
Pre-MTR	1. Provide input to the Commissioning Unit in developing the MTR ToR as appropriate
Preparation	None
Implementation	1. Participate in MTR mission wrap up meeting as appropriate
Post-mission	1. Review and provide comments to MTR report 2. Contribute to the management response to the MTR 3. Participate in optional concluding stakeholder workshop 4. Implement management response actions, where relevant

2.7 Project Board Roles and Responsibilities

Project Board's Main Objective: Work with the Commissioning Unit in creating the management response, approve it, and commit to take action on its directives	
PHASE	**RESPONSIBILITIES**
Pre-MTR	1. Review and agree to the objectives of the MTR outlined in the ToR
Preparation	None
Implementation	1. Participate as interviewees in MTR interviews if requested
Post-mission	1. Review and approve the management response 2. Participate in optional concluding stakeholder workshop 3. If new indicators or revisions to existing indicators are proposed by MTR, approve and ensure are added to the project's LogFrame and that systems are established to monitor these new indicators. 4. Implement management response actions, where relevant

Chapter 3: MTR Requirements

This chapter provides further detail on the key issues to be addressed during the MTR process. **All MTR reports are required to include the key sections noted below.** Please see Annex 3 (ToR Annex B) for a suggested Table of Contents for the MTR Report.

3.1 Introduction: Purpose, Scope, and Methodology

The introductory section of the MTR report should outline the MTR's purpose and objectives, the scope of the MTR, and the MTR process. It should explain the approach and methodology- including data collection methods- making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review. Some of this information will have been provided in the Inception Report. A MTR Evaluation Matrix should be included as an annex to the final MTR report. See Annex 3 (ToR Annex C) for a Template MTR Evaluation Matrix.

3.2 Project Description & Background Context

The MTR report should describe the objective of the project, the expected results and the development context. Much of this information is available from the Project Identification Form (PIF), and the Project Document.

This section should include:

- Development Context: how the project objectives align with the executing agency/implementing partners' strategies and priorities and UNDP programming priorities
- Problems that the project sought to address: threats and barriers targeted
- The project description and strategy: objective, outcomes, and expected results, description of field sites (if applicable)
- Project implementation arrangements: short descriptions of management arrangements, Project Team and/or management unit, Project Board, implementing partner arrangements, etc.
- Significant socio-economic and environmental changes since the beginning of project implementation and any other major external contributing factors
- Key partners and stakeholders involved in project implementation.

3.3 Findings

The findings should be presented around the following four areas outlined in the standard MTR ToR template: **(A) Project Strategy, (B) Progress Towards Results, (C) Project Implementation and Adaptive Management,** and **(D) Sustainability**.

A. Project Strategy

PROJECT DESIGN

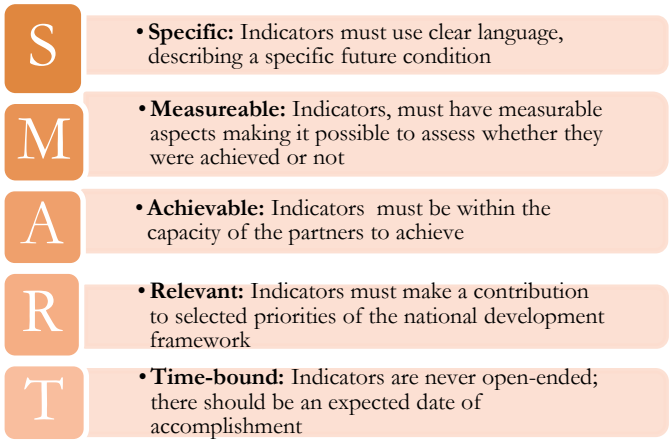
The MTR team should undertake an analysis of the design of the project as outlined in the Project Document in order to identify whether the strategy is proving to be effective in reaching the desired results; if not, then the MTR should identify the changes needed to get the project back on track.

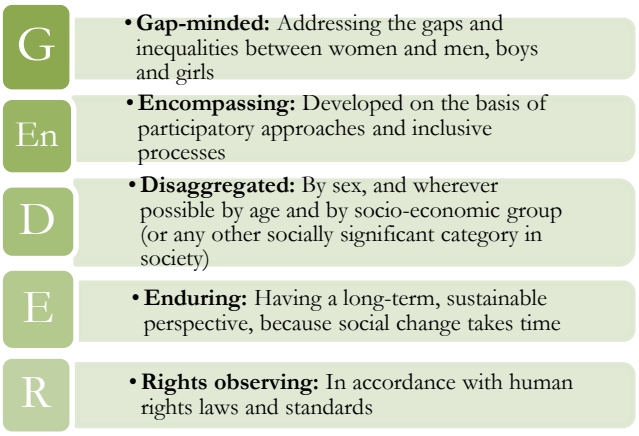
Elements of the project design that the MTR must review include:

- The extent to which lessons from other relevant projects were incorporated into the project design.
- The extent to which the project addresses country priorities and is country-driven. Is the project concept in line with national development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- The sustainability and viability of the project. Externalities (i.e. effects of climate change, global economic crisis, change in national situation etc.) relevant to the project strategy.
- Thorough identification of environmental and social risks as identified through the UNDP Environmental and Social screening procedure[24] and adequate mitigation and management measures outlined in the Project Document
- 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?
- The extent to which relevant gender issues were raised in the project design. See Annex 9 for further guidelines on assessing gender in project design and preparation.

RESULTS FRAMEWORK/ LOGFRAME

The MTR team should undertake a critical analysis of the project's logframe, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Achievable, Relevant, Time-bound), and suggest specific amendments/revisions to the indicators or targets, as necessary.





The MTR should assess the extent to which broader development effects (i.e. income generation, gender equality and women's empowerment,[25,26] improved governance, livelihood benefits, etc.) of the project were factored into project design. The MTR team should develop new indicators to cover these broader development impacts if they were not included in the logframe, and should also **recommend sex-disaggregated indicators,** as necessary, to ensure that the development benefits of the project are fully and adequately included in the project results framework and monitored on an annual basis. See Annex 9 for further guidelines on assessing gender.

[24] https://undp.unteamworks.org/file/234926/download/253849

[25] For more on gender equality, the rights-based approach and human development see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 171.

[26] For a detailed review of current M&E practices from a women's rights perspective see e.g., *Capturing Change in Women's Realities: A Critical Overview of Current Monitoring & Evaluation Frameworks and Approaches*, Batliwala/Pittman, AWID, December 2010, www.awid.org/About-AWID/AWID-News/Capturing-Change-in-Women-s-Realities.

B. Progress Towards Results

One of the MTR's fundamental objectives is to review progress toward results. This is to be assessed based on data provided, amongst others, in the Project Document, project work plans, GEF Tracking Tools, and PIRs, as well as results verified in the course of the MTR mission.

GEF TRACKING TOOLS (TT)[27]

The MTR team should compare the data in the midterm TT with data provided in the GEF TT submitted to the GEF for CEO endorsement. The results reported therein should be reviewed by the MTR team during the MTR mission, and any trends should be analysed. The MTR team should also comment on progress made or lack thereof, and make recommendations for the completion of the GEF TT at project closure.

PROGRESS TOWARDS OUTCOMES ANALYSIS

The MTR team is expected to provide ratings on the project's progress towards its objective and each outcome. The assessment of progress should be based on data provided in the PIRs, supplemented by data provided in the GEF TTs, the findings of the MTR mission, and interviews with the project stakeholders.

To do this analysis, the MTR team should populate Table 1 below to summarize the progress towards the **end-of-project targets** for the project objective and each outcome. The columns such as "Baseline Level", "Midterm Target", and "End-of-project Target" should be populated with information from the results framework, scorecards, PIRs and the Project Document. Using that data, the MTR team should complete the column "Midterm Level & Assessment" and conclude whether the end-of-project target: a) has already been achieved (colour the "Midterm Level & Assessment" table cell green); b) is partially achieved or on target to be achieved by the end of the project (colour yellow); or c) is at high risk of not being achieved by the end of the project and needs attention (colour red).

When possible, the MTR team should review the indicator-level progress reported in the most recent PIR. Any deviations from the results reported in the PIR should be noted and explained.

Table 1. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator[28]	Baseline Level[29]	Level in 1st PIR (self-reported)	Midterm Target[30]	End-of-project Target	Midterm Level & Assessment[31]	Achievement Rating[32]	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

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

[27] See page 3 of this Guidance for more details on types of TT and roles and responsibilities for completing TT.
[28] Populate with data from the Logframe and scorecards
[29] Populate with data from the Project Document
[30] If available
[31] Colour code this column only
[32] Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

The MTR team will then complete the "Achievement Rating" column by assigning ratings for the project objective and each outcome, based on the achievement towards the midterm targets and the end-of-projects targets shown under the relevant indicators and using the 6-point Progress Towards Results rating scale in Box 4. In deciding *Achievement Ratings* of the project objective and each outcome, the MTR team should holistically assess the progress measured by all relevant indicators, as well as the findings of the MTR.

The MTR team will complete the "Justification for Rating" column with a brief explanation of why each rating was assigned by comparing the "Midterm Level & Assessment" column with the "Midterm Target" and "End-of-project Target" columns, and using the criteria in the rating scale.

This completed table should be included in the final MTR report as an annex. See Annex 8 for a *Sample Matrix for Assessing Progress Towards Results*.

For those indicators marked as "Not achieved" (red), the MTR team may recommend actions to be taken, which should be summarized in the *Recommendations Table* (Annex 10).[33]

Finally, the MTR team should include its ratings of the project's results and descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* (see Table 2) in the Executive Summary of the MTR report.

Table 2. MTR Ratings & Achievement Summary Table for (*Project Title*)

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

RATINGS FOR PROGRESS TOWARDS RESULTS

The MTR team should use the following 6-point scale **to rate the project's progress towards the objective and each project outcome**: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), or Highly Unsatisfactory (HU).

These standard ratings must be used to complete the column "Achievement Rating" in Table 1.

[33] See page 22 for guidelines on recommendations.

Box 4. Progress Towards Results Rating Scale

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".
Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
Moderately Unsatisfactory (MU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
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.

C. Project Implementation & Adaptive Management

The MTR team will review the project implementation and adaptive management of the project, identify challenges and propose additional measures to support more efficient and effective implementation. The following aspects of project implementation and adaptive management will be assessed: **management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications.**

MANAGEMENT ARRANGEMENTS

The findings section of the MTR report on management arrangements should assess the quality of UNDP support to the project, and the Executing Agency/Implementing Partner's execution of the project. In regards to overall effectiveness, the MTR team should compare current management arrangements with arrangements laid out 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?

GEF Partner Agency (UNDP) execution factors should include:

- Whether there is an appropriate focus on results
- The adequacy of UNDP support to the Executing Agency/Implementing Partner and Project Team
- Quality and timeliness of technical support to the Executing Agency/Implementing Partner and Project Team
- Candor and realism in annual reporting
- The quality of risk management
- Responsiveness of the managing parties to significant implementation problems (if any)
- Any salient issues regarding project duration, for instance to note project delays, and how they may have affected project outcomes and sustainability
- Adequate mitigation and management of environmental and social risks as identified through the UNDP Environmental and Social screening procedure.[34]

Executing Agency/Implementing Partner's execution factors should include:

- Whether there is an appropriate focus on results and timeliness
- Adequacy of management inputs and processes, including budgeting and procurement
- Quality of risk management
- Candor and realism in reporting
- Government ownership (when national execution)
- Adequate mitigation and management of environmental and social risks as identified through the UNDP

[34] https://undp.unteamworks.org/file/234926/download/253849

Environmental and Social screening procedure.[35]

WORK PLANNING

The MTR team should assess the project's work planning in the following ways:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been solved.
- Identify if work-planning processes are results-based. If not, suggest ways to re-orientate work planning to focus on results.
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since the project start.

FINANCE AND CO-FINANCE

When considering the effectiveness of financial planning, the MTR team should consider:

- Whether strong financial controls have been established that allow the project management to make informed decisions regarding the budget at any time, and allow for the timely flow of funds and the payment of satisfactory project deliverables.
- Variances between planned and actual expenditures.
- Whether the project demonstrates due diligence in the management of funds, including annual audits.
- Any changes made to fund allocations as a result of budget revisions and the appropriateness and relevance of such revisions.

In regards to co-financing, the MTR should include a table that shows planned and actual co-financing commitments, as set out in Annex 6. In the report, the MTR team should briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective(s), additionally considering whether the Project Team is meeting with all co-financing partners regularly in order to align financing priorities and annual work plans.

CO-FINANCING TABLE

The GEF co-financing table should be preliminarily completed by the Project Team before the MTR mission, and confirmed for accuracy by the MTR team during the MTR mission. Obtaining up-to-date co-financing information will require contacting each of the co-financing parties, including the government, to get a full and up-to-date accounting of co-financing. The Project Team must send this table to each of the co-financers and have them fill in their information.

PROJECT-LEVEL MONITORING & EVALUATION SYSTEMS

Aspects relevant to an assessment of project-level monitoring systems at the Midterm Review stage include:

- The quality of the Monitoring and Evaluation (M&E) plan's implementation: Was the M&E plan sufficiently budgeted and funded during project preparation and implementation thus far? Are sufficient resources being allocated to M&E? Are these resources being allocated effectively?
- The appropriateness of the M&E systems to the project's specific context.
- Do the monitoring tools 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?

[35] https://undp.unteamworks.org/file/234926/download/253849

- The extent to which the Project Team is using inclusive, innovative, and participatory monitoring systems[36]
- The extent to which follow-up actions, and/or adaptive management, were taken in response to the PIRs
- The extent to which development objectives are built into monitoring systems: How are perspectives of women and men involved and affected by the project monitored and assessed? How are relevant groups' (including women, indigenous peoples, children, elderly, disabled, and poor) involvement with the project and the impact on them monitored? See Annex 9 for further guidance on assessing gender in monitoring.
- Adequate mitigation and management of environmental and social risks as identified through the UNDP Environmental and Social screening procedure.[37]

STAKEHOLDER ENGAGEMENT

Stakeholder engagement should have a strong cross-cutting presence throughout the MTR report. The MTR report should also cover stakeholder engagement in regards to:

- 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: How has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives? Are there any limitations to stakeholder awareness of project outcomes or to stakeholder participation in project activities? Is there invested interest of stakeholders in the project's long-term success and sustainability?

REPORTING

The findings section of the MTR report on reporting should:

- Assess how adaptive management changes have been reported by the Project Team and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs?), and suggest trainings etc. if needed.
- Assess how the PIRs have been shared with the Project Board and other key stakeholders.
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners and incorporated into project implementation.

COMMUNICATIONS

The MTR report section on communications should:

- 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 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?).

[36] For more ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.
[37] https://undp.unteamworks.org/file/234926/download/253849

- Discuss possibilities for expansion of educational or awareness aspects of the project to solidify a communications program, with mention of proper funding for education and awareness activities.
- Suggest aspects of the project that might yield excellent communications material, if applicable.

RATINGS FOR PROJECT IMPLEMENTATION

Based on the assessment of the categories above, the MTR team should assign **one overall Project Implementation & Adaptive Management rating** from the 6-point scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), or Highly Unsatisfactory (HU):

Box 5. Project Implementation & Adaptive Management Rating Scale

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".
Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
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.
Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

The selected rating and a description/explanation of that rating should be included in the *MTR Ratings & Achievements Summary* table (Table 2).

D. Sustainability

The purpose of reviewing the sustainability of the project during the Midterm Review is to set the stage for the Terminal Evaluation, during which sustainability will be rated by each of the four GEF categories of sustainability (financial, socio-economic, institutional framework and governance, and environmental). Sustainability is generally considered to be the likelihood of continued benefits after the project ends. Consequently the assessment of sustainability at the midterm considers the risks that are likely to affect the continuation of project outcomes.

The MTR team should validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date.

In addition, the MTR team should approach the assessment of sustainability as a way to begin discussions with the Project Team to gear their thinking towards sustainability risk factors, as well as opportunities to build risk management into the project plan in a thorough manner at the midterm, if it is not there already.

FINANCIAL RISKS TO SUSTAINABILITY

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?
- What opportunities for financial sustainability exist?
- What additional factors are needed to create an enabling environment for continued financing?
- Has there been the establishment of financial and economic instruments and mechanisms to ensure the ongoing flow of benefits once the GEF assistance ends (i.e. from the public and private sectors, income generating activities, and market transformations to promote the project's objectives)?

SOCIO-ECONOMIC RISKS TO SUSTAINABILITY

- Are there any social or political risks that may jeopardize sustainability of project outcomes?
- What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?
- Is there sufficient public/ stakeholder awareness in support of the objectives of the project?
- Are lessons learned being documented by the Project Team on a continual basis?
- Are the project's successful aspects being transferred to appropriate parties, potential future beneficiaries, and others 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 project benefits?
- Has the project put in place frameworks, policies, governance structures and processes that will create mechanisms for accountability, transparency, and technical knowledge transfer after the project's closure?
- How has the project developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?
- How has the project identified and involved champions (i.e. individuals in government and civil society) who can promote sustainability of project outcomes?
- Has the project achieved stakeholders' (including government stakeholders') consensus regarding courses of action on project activities after the project's closure date?
- Does the project leadership have the ability to respond to future institutional and governance changes (i.e. foreseeable changes to local or national political leadership)? Can the project strategies effectively be incorporated/mainstreamed into future planning?

ENVIRONMENTAL RISKS TO SUSTAINABILITY

- Are there environmental factors that could undermine and reverse the project's outcomes and results, including factors that have been identified by project stakeholders?

RATINGS FOR SUSTAINABILITY

Based on the assessment of the categories above, the MTR team should assign **one overall Sustainability rating** from the 4-point scale: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), and Unlikely (U).

Box 6. Sustainability Rating Scale

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

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
Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

The selected rating and a description/explanation of that rating should be included in the *MTR Ratings & Achievements Summary* table (Table 2).

3.4 Conclusions & Recommendations

CONCLUSIONS

The MTR team will include a section of the report setting out their conclusions in light of the findings.[38] The conclusions should be comprehensive and balanced, and highlight the strengths, weaknesses and results of the project. They should be well substantiated by the evidence gathered and clearly connected to the MTR's findings. They should respond to MTR questions from the ToR and provide insights into the identification of and/or solutions to important problems or issues pertinent to project stakeholders, including UNDP and GEF.

RECOMMENDATIONS

Based on the findings and conclusions, the MTR report should provide practical, feasible recommendations directed to the project management and relevant stakeholders on actions to take and decisions to make. Recommendations should be succinct suggestions for critical interventions that are specific, measurable, achievable, and relevant.

For example, recommendations may include:

- Corrective actions for the design, implementation, monitoring and evaluation of the project, etc.
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives and mitigating risks to sustainability

A recommendation summary chart should be included in the executive summary of the MTR report. This chart should include suggestions for who should be responsible for carrying forth each recommendation. It is highly recommended that the MTR team make **no more than 15 recommendations**.

See the Annex 10 for guidance on a recommendation summary table.

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

Annex 1. Glossary of Terms

This glossary of terms is drawn from UNDP, GEF and UNEG source materials, as well as from the OECD-DAC[39]

Term	Definition
Activities	Actions taken through which the project inputs are mobilized to produce specific outputs
Adaptive Management	The project's ability to adapt to changes to the project design (project objective, outcomes, or outputs) during implementation resulting from: (a) original objectives that were not sufficiently articulated; (b) exogenous conditions that changed, due to which a change in objectives was needed; (c) the project's restructuring because the original objectives were overambitious; or (d) the project's restructuring because of a lack of progress.
Conclusions	Point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments.
Co-financing	Includes Grants, Loans/Concessional (compared to market rate), Credits, Equity investments, In-kind support, other contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries. Refer to Council documents on co-financing for definitions, such as GEF/C.20/6 and GEF/C.46/09.
Cost Effectiveness	Assesses the achievement of the environmental and developmental objectives as well as the project's outputs in relation to the inputs, costs, and implementing time. It also examines the project's compliance with the application of the incremental cost concept.
Country Ownership	Relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements where applicable
Environmental risks to sustainability	Environmental factors that threaten sustainability of project outcomes (i.e. biodiversity-related project gains or water quality-related project gains that may be at risk due to frequent severe storms)
Evaluation	Project evaluations assess the efficiency and effectiveness of a project in achieving its intended results. They also assess the relevance and sustainability of outputs as contributions to medium-term and longer-term outcomes. Projects can be evaluated during the time of implementation, at the end of implementation (Terminal Evaluation), or after a period of time after the project has ended (ex-post evaluation).
Executing Agency	An entity or agency that receives GEF Funding from a GEF Partner Agency in order to execute a GEF project, or parts of a GEF project, under the supervision of a GEF Partner Agency. May also be referred to as "project executing agency." See "Implementing Partner" for equivalent UNDP terminology.
Financial Planning	Includes actual project cost by activity, financial management (including disbursement issues), and co-financing
Financial risks to sustainability	Financial factors that threaten sustainability of project outcomes. Factors to be considered are whether financial and economic resources are likely to be available after GEF grant assistance ends, or if macroeconomic conditions in the country/region are likely to affect future funding.
GEF Agency	GEF Agencies are the 10 institutions that are entitled to receive GEF Trust Fund resources directly from the GEF Trustee for the design, implementation, and supervision of GEF Projects as of November 2010. They include the following organizations: AfDB, ADB, EBRD, FAO, IADB, IBRD, IFAD, UNDP, UNEP, and UNIDO.
GEF Partner Agencies	Those agencies eligible to request and receive GEF resources directly for the design, implementation, and supervision of GEF Projects. This category includes both GEF Agencies and GEF Project Agencies. It does not include agencies designated by countries that request resources from the GEF Secretariat for the execution of activities under GEF direct access modalities (implemented by the GEF Secretariat), including for Convention reports and National Portfolio Formulation Exercises.
GEF Project Agencies	Any of the institutions that the GEF has accredited to receive GEF resources to design, implement and supervise GEF-financed projects apart from the ten GEF Agencies.
Inputs	Financial, human and material resources used for the project

[39] Development Cooperation Directorate, Development Assistance Committee, at the Organisation for Economic Co-operation and Development. See the DAC Network on Development Evaluation, Glossary of key terms in evaluation and results based management

Implementing Partner	UNDP terminology for the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in a signed document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in such document. By signing a Project Document an implementing partner enters into an agreement with UNDP to manage the project and achieve the results defined in the relevant documents. UNDP may select an implementing partner for a project from one of five different types of partner organizations. These categories are: 1. Government entities. The use of a government entity is referred to as national implementation. Eligible government entities include: (a) A ministry of the government; (b) A department within a ministry; (c) A governmental institution of a semi-autonomous nature, such as, the central bank, a university, a regional or local authority or a municipality. 2. United Nations agencies that have signed the Implementing Partner Agreement. 3. Civil Society Organizations (CSOs). 4. UNDP - this is referred to as direct implementation. 5. Approved inter-governmental organizations that are not part of the UN system
Implementation Approach	Includes an analysis of the project's work-planning, finance, stakeholder engagement, communication strategy, partnerships in implementation arrangements, and overall project management
Institutional framework and governance risks to sustainability	Legal, policy, and governance factors that threaten sustainability of project outcomes. Factors to be considered are whether systems of accountability, transparency, and technical know-how are in place.
Jointly-conducted Midterm Review	A Midterm Review in which different donor agencies and/or partners participate
Monitoring	The periodic oversight of a process, or the implementation of an activity, which seeks to establish the extent to which inputs, work schedules, other required actions and outputs are proceeding according to plan, so that timely action can be taken to correct the deficiencies detected
Outputs	Products and services that result from the project
Outcomes	The likely or achieved short- and medium-term effects of an intervention's outputs. Examples of outcomes could include, but are not restricted to, stronger institutional capacities, higher public awareness (when leading to changes of behavior), and transformed policy frameworks or markets.
Quality Assurance/Review	Quality assurance encompasses any activity that is concerned with assessing and improving the merit or the worth of an intervention or its compliance with given standards. For the purposes of this Guide, it especially refers to the assessment of the quality of Midterm Reviews carried out for UNDP/GEF projects.
Replication	In the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects
Results	The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention. In GEF terms, results include direct project outputs, short- to medium-term outcomes, and longer term impact including global environmental benefits, replication effects, and other local effects.
Socio-economic risks to sustainability	Social risks to economic changes and/or political and cultural factors that threaten sustainability of project outcomes. Factors to be considered are level of stakeholder ownership (over project planning, resources, project benefits, etc.) and stakeholder awareness in support of the project's long-term objectives.
Stakeholder	Agencies, organizations, groups or individuals who have a direct or indirect interest in the intervention or its evaluation
Stakeholder Engagement	The process by which a project involves people who may be affected by the decisions it makes or can influence the implementation of its decisions
Sustainability	The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion
Terms of Reference	Written document presenting the purpose and scope of the MTR, the methods to be used, the standard against which performance is to be assessed or analyses are to be conducted, the resources and time allocated, and reporting requirements.

Annex 2. Summary of Roles & Responsibilities by MTR Phase

	Commissioning Unit	Regional Technical Advisor (RTA)	Programme Associate (PA)	Project Team	MTR Team	GEF Operational Focal Point (OFP)	Project Board
Pre-MTR	1. Ensure that sufficient funds have been allocated for conducting the MTR as per the M&E plan included in the Project Document (if project is jointly-implemented, ensure responsibilities for MTR are clear) 2. Support the Project Team in preparation of GEF TTs in advance of the advertisement of the MTR ToR 3. Prepare the MTR ToR that aligns with the minimum standards for a MTR ToR, as outlined in this guidance (the drafting and advertisement of the MTR ToR should occur before the submission of the 2nd PIR); send to PA for comment and final approval 4. Advertise the ToR	None	1. Ensure that the MTR ToR prepared by the Commissioning Unit aligns with the minimum standards for a MTR ToR, as outlined in this guidance; provide feedback to improve the ToR, as necessary (the drafting and advertisement of the MTR ToR should occur before the submission of the 2nd PIR) 2. Work with the Commissioning Unit to ensure that the GEF Tracking Tools are fully drafted and sent to the RTA before the advertisement of the MTR ToR	1. Prepare relevant GEF Tracking Tools	None	1. Provide input to the Commissioning Unit in developing the MTR ToR as appropriate	1. Review and agree to the objectives of the MTR outlined in the ToR
Preparation	1. Select the MTR team following UNDP procurement standards; obtain the approval from the UNDP-GEF team in the region prior to making the offer	1. Quality assure the GEF Tracking Tools	1. Assist the Commissioning Unit with MTR consultant(s)	1. Compile project information package to provide to the	1. Review evaluation ethics and ensure steps to protect the rights and confidentiality of	None	None

	Commissioning Unit	Regional Technical Advisor (RTA)	Programme Associate (PA)	Project Team	MTR Team	GEF Operational Focal Point (OFP)	Project Board
Preparation (continued)	2. Assist the MTR team with collecting co-financing data by sending the co-financing table to each of the co-financers, if necessary 3. Provide the MTR team with the project information package 4. Facilitate the finalization of GEF TTs		qualification review, as necessary	Commissioning Unit 2. Assist with logistics (make sure itineraries are set for MTR mission and stakeholders are informed with sufficient notice) 3. Respond to review of GEF TT and finalize it with assistance from RTA	persons interviewed for the MTR 2. Review this MTR guidance, and other relevant UNDP and/or GEF guidance 3. Review project information package, including GEF Tracking Tools from CEO endorsement and midterm 4. Work with the Project Team/Commissioning Unit to ensure appropriate timing of the review mission		
Implementation	1. Approve MTR inception report (formally agree on MTR mission) 2. Share inception report with GEF OFP and relevant stakeholders 3. Assist in sending formal requests for interviews for the MTR mission as necessary 4. Participate in wrap up meeting in which the MTR team presents initial findings	1. Be available for a Skype interview with MTR team before the MTR mission, if requested	1. Be available for a Skype interview with MTR team before the MTR mission, if requested	1. Assist with logistics of MTR mission 2. Support MTR interviews if requested 3. Participate in wrap up meeting in which the MTR team presents initial findings	1. Prepare MTR inception report, including a detailed plan of the mission with an interview schedule, and provide it to the Commissioning Unit no later than 2 weeks before the MTR mission 2. Conduct the MTR mission 3. Have a mission wrap-up meeting with Project Team/Commissioning Unit to request additional info/present initial findings	1. Participate in MTR mission wrap up meeting as appropriate	1. Participate as interviewees in MTR interviews if requested
Post-mission	1. Brief the GEF OFP at the end of the MTR mission	1. Do a quality assurance review on the draft MTR	1. Review the draft MTR report using the Report	1. Review MTR report; look for inaccuracies, and	1. Complete and submit the first draft of the report to the	1. Review and provide	1. Review and approve the

	Commissioning Unit	Regional Technical Advisor (RTA)	Programme Associate (PA)	Project Team	MTR Team	GEF Operational Focal Point (OFP)	Project Board
Post-mission (continued)	2. Coordinate the MTR report review and comment process; send report with comments to the MTR team 3. Review final MTR report, sign the MTR clearance form in Annex 3 (ToR Annex F), and send to RTA for their final approval and signature 4. Make arrangements for translations of the draft and/or final MTR report into English (if necessary) within 2 months of submitting the 3rd PIR 5. Work with the Project Team to prepare a management response (this can be done at the same time as the circulation of the draft MTR report) 6. Ensure RTA and Project Board reviews and approves the management response (this can be done at the same time as the MTR report is being finalized) 7. Host the concluding stakeholder workshop (optional) 8. Approve the final payment to the MTR team 9. If new indicators or revisions to existing indicators are proposed by the MTR, decide with the Project Board if those changes should be approved and added to the project's LogFrame and that systems are in place to monitor new indicators 10. Decide if the MTR report and management response should be posted to the ERC (not mandatory) 11. Ensure that MTR recommendations are properly reflected in the subsequent Annual Work Plan and budget	report to look for factual errors and gaps in analysis; provide comments to the Commissioning Unit and/or MTR team 2. Sign the MTR report clearance form in Annex 3 (ToR Annex F) to accept the final MTR report 3. Quality assure the management response	Content Review Checklist (Annex 12) to ensure that the report complies with the requirements laid out in the ToR; provide comments and the completed Checklist to the RTA 2. If changes to LogFrame are approved, ensure that the Development Objective (DO) section of the 3rd PIR is revised accordingly 3. Post the completed MTR report and management response (both in English) to PIMS	provide comments to the MTR team 2. Brief the Project Board on the main findings and recommendations of the MTR 3. Draft the management response, and obtain input/feedback from the Commissioning Unit and RTA 4. Ensure the management response actions are discussed with and approved by the Project Board 5. Participate in optional concluding stakeholder workshop 6. Integrate MTR recommendations into subsequent Annual Work Plan 7. Implement management response actions, where relevant	Commissioning Unit within 3 weeks after mission 2. After receiving initial comments on MTR report, provide an "audit trail" to create the revised final MTR report within 1 week of comments; send final report to the Commissioning Unit	comments to MTR report 2. Contribute to the management response to the MTR 3. Participate in optional concluding stakeholder workshop 4. Implement management response actions, where relevant	management response 2. Participate in optional concluding stakeholder workshop 3. If new indicators or revisions to existing indicators are proposed by MTR, approve and ensure are added to the project's LogFrame and that systems are established to monitor these new indicators. 4. Implement management response actions, where relevant

Annex 3. Midterm Review Terms of Reference Standard Template 1

Formatted for attachment to 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/Implementing Partner*, 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 before the submission of the second Project Implementation Report (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* (*insert hyperlink*).

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 THE MTR

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

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 Annual Project Review/PIRs, project budget revisions, lesson learned reports, 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 approach[40] 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.[41] Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *(list)*; executing

[40] For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.
[41] 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.

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 THE 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 extended descriptions.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following 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 "Not on target to be achieved" (red).

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

Project Strategy	Indicator[42]	Baseline Level[43]	Level in 1st PIR (self-reported)	Midterm Target[44]	End-of-project Target	Midterm Level & Assessment[45]	Achievement Rating[46]	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

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

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

[42] Populate with data from the Logframe and scorecards
[43] Populate with data from the Project Document
[44] If available
[45] Colour code this column only
[46] Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- 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 in order to align financing priorities and annual work plans?

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?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- 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.

iv. Sustainability

- Validate whether the risks identified in the Project Document, Annual Project Review/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.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.[47]

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR team should make no more than 15 recommendations total.

Ratings

The MTR team 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 E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table for (*Project Title*)

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	

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

Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the MTR will be approximately *(# of weeks)* starting *(date)*, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
(date)	Application closes
(date)	Select MTR Team
(date)	Prep the MTR Team (handover of Project Documents)
(dates) XX days (recommended: 2-4)	Document review and preparing MTR Inception Report
(dates) XX days	Finalization and Validation of MTR Inception Report- latest start of MTR mission
(dates) XX days (r: 7-15)	MTR mission: stakeholder meetings, interviews, field visits
(date)	Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
(dates) XX days (r: 5-10)	Preparing draft report
(dates) XX days (r: 1-2)	Incorporating audit trail from feedback on draft report/Finalization of MTR report
(dates)	Preparation & Issue of Management Response
(date)	(optional) Concluding Stakeholder Workshop (not mandatory for MTR team)
(date)	Expected date of full MTR completion

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

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	**MTR Inception Report**	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission	MTR team submits to the Commissioning Unit and project management
2	**Presentation**	Initial Findings	End of MTR mission	MTR Team presents to project management and the Commissioning Unit

#	Deliverable	Description	Timing	Responsibilities
3	**Draft Final Report**	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	**Final Report***	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is *(In the case of single-country projects, the Commissioning Unit is the UNDP Country Office. In the case of regional projects and jointly-implemented projects, typically the principal responsibility for managing this MTR resides with the country or agency or regional coordination body – please confirm with the UNDP-GEF team in the region – that is receiving the larger proportion of GEF financing. For global projects, the Commissioning Unit can be the UNDP-GEF Directorate or the lead UNDP Country Office).*

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.

9. TEAM COMPOSITION

A team of two independent consultants will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project. The 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: *(give a weight to all these qualifications so applicants know what is the max amount of points they can earn for the technical evaluation)*

- 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;
- A Master's degree in (*fill in*), or other closely related field.

10. PAYMENT MODALITIES AND SPECIFICATIONS

10% of payment upon approval of the final MTR Inception Report
30% upon submission of the draft MTR report
60% upon finalization of the MTR report

Or, as otherwise agreed between the Commissioning Unit and the MTR team.

11. APPLICATION PROCESS[48]

Recommended Presentation of Proposal:

a) **Letter of Confirmation of Interest and Availability** using the template[49] provided by UNDP;
b) **CV** and a **Personal History Form** (P11 form[50]);
c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted to the address (fill address) in a sealed envelope indicating the following reference "Consultant for (*project title*) Midterm Review" or by email at the following address ONLY: (fill email) by ***(time and date).*** Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

[48] Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: https://info.undp.org/global/popp/Pages/default.aspx

[49] https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx

[50] http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

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

1. PIF
2. UNDP Initiation Plan
3. UNDP Project Document
4. UNDP Environmental and Social Screening results
5. Project Inception Report
6. All Project Implementation Reports (PIR's)
7. Quarterly progress reports and work plans of the various implementation task teams
8. Audit reports
9. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm (*fill in specific TTs for this project's focal area*)
10. Oversight mission reports
11. All monitoring reports prepared by the project
12. Financial and Administration guidelines used by Project Team

The following documents will also be available:
13. Project operational guidelines, manuals and systems
14. UNDP country/countries programme document(s)
15. Minutes of the (*Project Title*) Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
16. Project site location maps

ToR ANNEX B: Guidelines on Contents for the Midterm Review Report[51]

i. Basic Report Information *(for opening page or title page)*
- Title of UNDP supported GEF financed project
- UNDP PIMS# and GEF project ID#
- MTR time frame and date of MTR report
- Region and countries included in the project
- GEF Operational Focal Area/Strategic Program
- Executing Agency/Implementing Partner and other project partners
- MTR team members
- Acknowledgements

ii. Table of Contents

iii. Acronyms and Abbreviations

1. Executive Summary *(3-5 pages)*
- Project Information Table
- Project Description (brief)
- Project Progress Summary (between 200-500 words)
- MTR Ratings & Achievement Summary Table
- Concise summary of conclusions
- Recommendation Summary Table

2. Introduction *(2-3 pages)*
- Purpose of the MTR and objectives
- Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
- Structure of the MTR report

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

3. Project Description and Background Context *(3-5 pages)*

- Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
- Problems that the project sought to address: threats and barriers targeted
- Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
- Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
- Project timing and milestones
- Main stakeholders: summary list

4. Findings *(12-14 pages)*

4.1 Project Strategy

- Project Design
- Results Framework/Logframe

4.2 Progress Towards Results

- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective

4.3 Project Implementation and Adaptive Management

- Management Arrangements
- Work planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder engagement
- Reporting
- Communications

4.4 Sustainability

- Financial risks to sustainability
- Socio-economic to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

5. Conclusions and Recommendations *(4-6 pages)*

5.1 Conclusions

- Comprehensive and balanced statements (that are evidence-based and connected to the MTR's findings) which highlight the strengths, weaknesses and results of the project

5.2 Recommendations

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

6. Annexes

- MTR ToR (excluding ToR annexes)
- MTR evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Example Questionnaire or Interview Guide used for data collection
- Ratings Scales
- MTR mission itinerary
- List of persons interviewed
- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form
- Signed MTR final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft MTR report
- *Annexed in a separate file:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.)*

ToR ANNEX C: Midterm Review Evaluative Matrix Template

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 question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTR mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
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?			
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

ToR ANNEX D: UNEG Code of Conduct for Evaluators/Midterm Review Consultants[52]

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: _____

ToR ANNEX E: MTR Ratings

[52] www.undp.org/unegcodeofconduct

Ratings for Progress Towards Results: (one rating for each outcome and for 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 (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

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 few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

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)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

ToR ANNEX F: MTR Report Clearance Form

(to be completed by the Commissioning Unit 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: _____

Annex 4. Midterm Review Terms of Reference Standard Template 2

Formatted information to be entered in UNDP Jobs website[53]

BASIC CONTRACT INFORMATION

Location:
Application Deadline:
Category: Energy and Environment
Type of Contract: Individual Contract
Assignment Type: International Consultant
Languages Required:
Starting Date: (date when the selected candidate is expected to start)
Duration of Initial Contract:
Expected Duration of Assignment:

BACKGROUND

A. Project Title

B. Project Description

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full or medium-sized project titled Project Title (PIMS#) implemented through the Executing Agency/Implementing Partner, 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 before the submission of the second Project Implementation Report (PIR). The MTR process must follow the guidance outlined in the document *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (see Annex).

The project was designed to:

- Briefly describe the project rationale / background and the objectives of the project
- If applicable, explain thoroughly the peculiarity of the setting of the project or the work required, if any (e.g., security risks involved in conducting the work in certain communities, certain cultures and practices unique to the stakeholders, etc.)

[53] https://jobs.undp.org/

DUTIES AND RESPONSIBILITIES

C. Scope of Work and Key Tasks

The MTR team will consist of two independent consultants that 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 MTR team will first conduct a document review of project documents (i.e. PIF, UNDP Initiation Plan, Project Document, ESSP, Project Inception Report, PIRs, Finalized GEF focal area Tracking Tools, Project Appraisal Committee meeting minutes, Financial and Administration guidelines used by Project Team, project operational guidelines, manuals and systems, etc.) provided by the Project Team and Commissioning Unit. Then they will participate in a MTR inception workshop to clarify their understanding of the objectives and methods of the MTR, producing the MTR inception report thereafter. The MTR mission will then consist of interviews and site visits to (list preliminary sites).

The MTR team will assess the following four categories of project progress and produce a draft and final MTR report. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (attached or hyperlinked) for requirements on ratings. No overall rating is required.

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 relevanced of the project strategy and assess whether it provides the most effective route towards expected/intended results.
- Review how the project addresses country priorities
- Review decision-making processes

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.
- 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.

2. Progress Towards Results

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in 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 the project objective and each outcome; make recommendations from the areas marked as "not on target to be achieved" (red).
- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

3. **Project Implementation and Adaptive Management**

Using the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; assess the following categories of project progress:

- Management Arrangements
- Work Planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder Engagement
- Reporting
- Communications

4. **Sustainability**

Assess overall risks to sustainability factors of the project in terms of the following four categories:

- Financial risks to sustainability
- Socio-economic risks to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

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

Additionally, the MTR consultant/team is expected to make **recommendations** to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. The MTR consultant/team should make no more than 15 recommendations total.

D. Expected Outputs and Deliverables

The MTR consultant/team shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to the Commissioning Unit and project management. Approximate due date: (date)
- Presentation: Initial Findings presented to project management and the Commissioning Unit at the end of the MTR mission. Approximate due date: (date)
- Draft Final Report: Full report with annexes within 3 weeks of the MTR mission. Approximate due date: (date)
- Final Report*: Revised report with annexed audit trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Approximate due date: (date)

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

E. Institutional Arrangement

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is *(In the case of single-country projects, the Commissioning Unit is the UNDP Country Office. In the case of regional projects and jointly-implemented projects, typically the principal responsibility for managing this MTR resides with the country or agency or regional coordination body – please confirm with the UNDP-GEF team in the region – that is receiving the larger proportion of GEF financing. For global projects, the Commissioning Unit can be the UNDP-GEF Directorate or the lead UNDP Country Office).*

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.

F. Duration of the Work

The total duration of the MTR will be approximately *(# of weeks)* starting *(date)*, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

- *(date):* Application closes
- *(date):* Selection of MTR Team
- *(date):* Prep the MTR Team (handover of project documents)
- *(dates) XX days (recommended 2-4):* Document review and preparing MTR Inception Report
- *(dates) XX days:* Finalization and Validation of MTR Inception Report- latest start of MTR mission
- *(dates) XX days (r: 7-15):* MTR mission: stakeholder meetings, interviews, field visits
- *(dates):* Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- *(dates) XX days (r: 5-10):* Preparing draft report
- *(dates) XX days (r: 1-2):* Incorporating audit trail on draft report/Finalization of MTR report
- *(dates):* Preparation & Issue of Management Response
- *(date):* (optional) Concluding Stakeholder Workshop (not mandatory for MTR team)
- *(date):* Expected date of full MTR completion

The date start of contract is (date).

G. Duty Station

REQUIRED SKILLS AND EXPERIENCE

H. Qualifications of the Successful Applicants

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas: *(give a weight to all these qualifications so applicants know what is the max amount of points they can earn for the technical evaluation)*

- Recent experience with result-based management evaluation methodologies;
- Experience applying SMART targets 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;
- A Master's degree in (*fill in*), or other closely related field.

Consultant Independence:

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.

APPLICATION PROCESS

I. Scope of Price Proposal and Schedule of Payments

Financial Proposal:

- Financial proposals must be "all inclusive" and expressed in a lump-sum for the total duration of the contract. The term "all inclusive" implies all cost (professional fees, travel costs, living allowances etc.);
- For duty travels, the UN's Daily Subsistence Allowance (DSA) rates are (fill for all travel destinations), which should provide indication of the cost of living in a duty station/destination *(Note: Individuals on this contract are not UN staff and are therefore not entitled to DSAs. All living allowances required to perform the demands of the ToR must be incorporated in the financial proposal, whether the fees are expressed as daily fees or lump sum amount.)*
- The lump sum is fixed regardless of changes in the cost components.

Schedule of Payments:

10% of payment upon approval of the MTR Inception Report
30% upon submission of the draft MTR Report
60% upon finalization of the MTR Report

Or, as otherwise agreed between the Commissioning Unit and the MTR team.

J. Recommended Presentation of Offer

a) Completed **Letter of Confirmation of Interest and Availability** using the template provided by UNDP;
b) **Personal CV or a P11 Personal History form**, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references;
c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
d) **Financial Proposal** that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP. See Letter of Confirmation of Interest template for financial proposal template.

Incomplete applications will be excluded from further consideration.

K. Criteria for Selection of the Best Offer

The award of the contract will be made to the Individual Consultant who has obtained the highest Combined Score and has accepted UNDP's General Terms and Conditions. Only those applications which are responsive and compliant will be evaluated. The offers will be evaluated using the "Combined Scoring method" where:

a) The educational background and experience on similar assignments will be weighted a max. of 70%;
b) The price proposal will weigh as 30% of the total scoring.

L. Annexes to the MTR ToR

Include *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* and other existing literature or documents that will help candidates gain a better understanding of the project situation and the work required.

Possible annexes include: (reference ToR Annexes in Annex 3 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*)

- List of documents to be reviewed by the MTR Team
- Guidelines on Contents for the Midterm Review Report
- UNEG Code of Conduct for Evaluators/Midterm Review Consultants
- MTR Required Ratings Table and Ratings Scales
- MTR Report Clearance Form
- Sample MTR Evaluative Matrix
- Progress Towards Results Matrix and MTR Ratings & Achievement Summary Tables (in Word)

Annex 5. Project Information Table

Note: This table should be completed by the Project Team or Commissioning Unit and provided to the MTR Team.

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

Project Title			
UNDP Project ID (PIMS #):		PIF Approval Date:	
GEF Project ID (PMIS #):		CEO Endorsement Date:	
ATLAS Business Unit, Award # Proj. ID:		Project Document (ProDoc) Signature Date (date project began):	
Country(ies):		Date project manager hired:	
Region:		Inception Workshop date:	
Focal Area:		Midterm Review completion date:	
GEF Focal Area Strategic Objective:		Planned planed closing date:	
Trust Fund [indicate GEF TF, LDCF, SCCF, NPIF]:		If revised, proposed op. closing date:	
Executing Agency/ Implementing Partner:			
Other execution partners:			
Project Financing	*at CEO endorsement (US$)*	*at Midterm Review (US$)**	
[1] GEF financing:			
[2] UNDP contribution:			
[3] Government:			
[4] Other partners:			
[5] Total co-financing [2 + 3+ 4]:			
PROJECT TOTAL COSTS [1 + 5]			

* [draw from the last PIR]

Annex 6. Co-Financing Table for UNDP Supported GEF Financed Projects

Note: This table should be completed by the MTR Team with support from the Project Team.

Sources of Co-financing[54]	Name of Co-financer	Type of Co-financing[55]	Amount Confirmed at CEO endorsement (US$)	Actual Amount Contributed at stage of Midterm Review (US$)	Actual % of Expected Amount
		TOTAL			

Explain "Other Sources of Co-financing":

[54] Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Partner Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Other

[55] Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other

Annex 7. Midterm Review Data Request Checklist

Note: This checklist is for the Commissioning Unit, Project Team, and MTR Team in the Preparation Phase of the MTR.

Item #	Items (electronic versions preferred if available)	Comments
1	PIF	
2	UNDP Initiation Plan	
3	Final UNDP Project Document and final GEF approval documents (Request for CEO Endorsement, etc.)	
4	UNDP Environmental and Social Screening results	
5	Progress reports (quarterly, semi-annual, or annual) with associated project work plans and financial reports	
6	Project Inception Report	
7	All Project Implementation Reports (PIRs)	
8	Quarterly progress reports and work plans of the various implementation task teams	
9	Audit reports, electronic copies if available	
10	Electronic copies of finalized relevant GEF tracking tools from CEO endorsement and midterm (*fill in specific TTs for this project's focal area*)	
11	Oversight mission reports	
12	Minutes of the (*Project Title*) Project Board meetings or other meetings (i.e. Project Appraisal Committee meetings)	
13	Maps of location sites, as necessary	
14	Other management related documents: adaptive management reports, management memos	
15	Electronic copies of project outputs – newsletters, booklets, manuals, technical reports, articles, etc.	
16	Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants	
17	Any available information on relevant environmental monitoring data (species indicators, etc.), beyond what is available on indicators in logframe in PIRs	
18	Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities	
19	Actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions	
20	List of contracts and procurement items over ~$5,000 USD (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)	
21	Co-financing table with expected and actual totals broken out by cash and in-kind, and by source, if available	
22	List of related projects/initiatives contributing to project objectives approved/started after GEF project approval	
23	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available	
24	Confirmation on list of names and titles of stakeholders actually met on MTR field mission (include after the MTR field mission)	
25	UNDP country/countries programme document(s)	

Annex 8. Sample Matrix of Assessing Progress Towards Results

Indicator Assessment Key

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

Table A. Progress Towards Results Matrix for Sample Protected Area Project

PROJECT GOAL: To catalyze the improved conservation of globally significant biodiversity through the demonstration of new mechanisms and approaches for effective management of protected areas and natural resources adjacent to them.								
Project Strategy	**Indicator**[56]	**2009 Baseline Level**[57]	**2011 Level of 1st PIR (self-reported)**	**2012 Midterm Target**	**2015 End-of-project Target**	**2012 Midterm Level & Assessment**[58]	**Achievement Rating**[59]	**Justification for Rating**
Objective: To strengthen the management effectiveness and sustainability of the three selected protected areas of different types, thereby providing models and best practices replicable throughout the national PA system.	Improved management effectiveness of protected areas	Current average METT score-22 for the PA system	Piloting a new approach for management response to PA risks such as pest outbreak and forest fires on 27 sites and covered area of 110 ha.	METT score-30 for the PA system	Average METT score for 20 PAs is 38 out of potential score of 96 (ref Table XX)	METT score-29 for the PA system		METT scores have increased on average by 23% which is considered satisfactory progress towards the 10 year target
	No further reduction in the total land under conservation management compared with the baseline.	25,100 ha (under PA) 104,170 ha- surrounding landscape 3,100,00 ha under system level	25,100 ha (under PA) 104,170 ha- surrounding landscape 3,100,00 ha under system level	25,100 ha (under PA) 104,170 ha- surrounding landscape 3,100,00 ha under system level	25,100 ha (under PA) 104,170 ha- surrounding landscape 3,100,00 ha under system level (the PA system in the country)	25,100 ha (under PA) 104,170 ha- surrounding landscape 3,100,00 ha under system level	S	No change but PAs system is expected to cover 3,502,800 ha after planned expansions

[56] From the Logframe and scorecards
[57] From the Project Document
[58] Colour coded this column only
[59] Ratings assigned using the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Project Strategy	Indicator[60]	2009 Baseline Level[61]	2011 Level of 1st PIR (self-reported)	2012 Midterm Target	2015 End-of-project Target	2012 Midterm Level & Assessment[62]	Achievement Rating[63]	Justification for Rating
Outcome 1: Strengthened environmental governance provides a more sustainable land-use context for the PA system	Local policies on sustainable land-use designed and supported by the selected local governments	Policies on sustainable land-use at local level do not exist	Ten year forest management planning documents were analysed to identify local policies on sustainable land-use.	Policies on sustainable land-use at local level are drafted	Policies on sustainable land-use at local level designed and supported by the selected local governments	Preparation of specific district land use policies and plans largely in order to focus more on Forest Code and management planning. Land use policies for non-core areas (under remit of Forestry Agency) are planned for but not yet drafted.	MS	Project design focused on strengthening Protected Areas Law (see Project Document logframe) but during implementation it has become apparent that a new Forestry Code was a necessary precursor. Both these instruments needed to be in place ahead of being able to strengthen land use policies at local level. Thus, the switch to focus on Forestry Code, alongside Protected Areas Law is justified. Management plans for 2 PAs provide basis for adopting sustainable land-use practices but demonstration of good practice is being threatened by lack of time to implement plans. New draft of PA Law was submitted to Parliament on 3 May 2011, exceeding the midterm target. New Forest Code has already been prepared and submitted to Parliament on 2 August 2011.
	Sustainable land use practices adopted by elected communities and community members	No widely accepted sustainable land-use practices exist	Target groups have been identified, data base created and outreach strategy developed. Behavior studies show high levels of receptiveness to changes towards sustainable land use practices.	Sustainable land-use practice implementation plans are created by selected communities and community members	Sustainable land-use practices implemented by selected communities and community members	More sustainable practices tested/ demonstrated under Component 3, but without introduction of normative acts related to access and resource use (e.g. visitor access, tree cutting and fuel wood collection, forest management grazing and collection of hay, collection and preparation of medicinal herbs).		
	Amendments to the existing or new versions of the PA Law and the Forest Code prepared and submitted to the Parliament	New PA law draft prepared Current Forest Code of 1993 is considered outdated and needs to be revised	PA Law proposal was submitted to Parliament on 3 May 2011. New Forest Code was submitted on 2 August 2011.	Consultations have been held; the draft PA Law has been submitted to the Parliament New Forest Code draft prepared	New draft of PA Law is adopted by the Parliament New Forest Code is adopted by Parliament	Consultations were held in mid-2010; the draft PA Law was submitted to the Parliament in mid-2011 New Forest Code draft prepared and submitted to Parliament.		
Etc.								

[60] From the Logframe and scorecards
[61] From the Project Document
[62] Colour coded this column only
[63] Ratings assigned using the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

**Note:* After completing Table A (Progress Towards Results Matrix), the MTR team should also fill out Table B below, to be included in the report's executive summary. Table B's *MTR Rating* column should include the same assigned ratings for the objective/outcomes as assigned in Table A's column *Achievement Rating*, whereas the ratings for 'Project Implementation & Adaptive Management', and 'Sustainability' should be assigned based on analysis from the MTR mission, interviews, document review, etc.

Table B. MTR Ratings & Achievement Summary Table for Sample Protected Area Project

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	The project was designed to increase management effectiveness of the protected area system and it involved a large variety of stakeholders in its design phase. The logframe reflects a country-driven strategy that also recognizes assumptions regarding externalities and threats to sustainability of project results; the logframe needs to incorporate more nuanced gender-sensitive outcomes, with sex-disaggregated indicators in some instances.
Progress Towards Results	**Objective: Satisfactory**	METT scores have increased on average by 23% which is considered satisfactory progress towards the 10 year target. There was been no further reduction in the total land under conservation management compared with the baseline (satisfying the midterm target) but the PAs system is expected to cover 3,502,800 ha after planned expansions, which will need to be monitored, if not mitigated in the second half of the project.
	Outcome 1: Moderately Satisfactory	While some indicators under this outcome have exceeded targets, (i.e. the new draft of PA Law and the new Forest Code have already been prepared and submitted to Parliament), other targets are not on track and need more attention. Project design focused on strengthening Protected Areas Law, but during implementation it has become apparent that a new Forestry Code was a necessary precursor. Both these instruments needed to be in place ahead of being able to strengthen land use policies at local level. Management plans for 2 PAs provide basis for adopting sustainable land-use practices, but demonstration of good practice is being threatened by lack of time to implement plans.
	Outcome 2: Satisfactory	Etc.
	Outcome 3: Moderately Satisfactory	Etc.
Project Implementation & Adaptive Management	**Moderately Satisfactory**	The project requires: more intensive and more integrated working to build the capacity of protected areas administrations at demonstration sites; more frequent Board meetings; stronger communications; however, good handling of delays and opportunities from elections and change of government; communities and livelihood developed at pilot sites
Sustainability	**Moderately Likely**	Sustainability factors seem likely to be in place before the project has completed; need for more focus on a strategy to reduce risks of project dependence on UNDP-GEF technical support once the project closes

Annex 9. Checklist for Gender Sensitive Midterm Review Analysis

The degree of relevance of gender in projects supported by UNDP with GEF financing varies depending on the area of work and type of engagement.[64] This annex includes general points to consider for assessing how gender considerations have been mainstreaming into a project's design, monitoring framework, and implementation, as well as points to address the potential impact of project interventions on gender equality and women's empowerment. It is not required to discuss all of these aspects in the evaluation report, but these are areas for potential consideration in the report's gender mainstreaming analysis.

Points to consider relating to *Project Design and Preparation*:

1. Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?
2. Were gender issues triggered during the mandatory UNDP Environmental and Social project screening? If so, were mitigation measures built into the project document? What other steps were taken to address these issues?
3. Does the project budget include funding for gender-relevant outcomes, outputs and activities?
4. Were gender specialists and representatives of women at different levels consulted throughout the project design and preparation process?

Points to consider relating to *Project Monitoring*:

1. Review the outcomes of all Project Appraisal Committee (PAC)[65] meetings (including any pre-Project Appraisal Committee and local PAC meetings), inception workshop and the inception report, and any related stakeholder workshops that took place during the project's initiation stage.
    a. Did these include a discussion of the potential gender equality impact of the project?
    b. Did gender specialists and representatives of women at all levels participate? If yes, how did they participate?
2. How does the project capture gender results and are these results built into project monitoring?
    a. Are the project's results framework indicators disaggregated by sex and wherever possible by age and by socio-economic group (or any other socially significant category in society)?
    b. Are the project's results framework targets set up to guarantee a sufficient level of gender balance in activities (e.g. quotas for male and female participation)?
    c. Are gender sensitive indicators included in the project's results framework? Gender sensitive data can provide a more contextual understanding of the needs, access conditions and potential for empowerment of women and girls and men and boys.

Points to consider relating to *Project Implementation:*

1. Do the Executing Agency/Implementing Partner and/or GEF Partner Agency and other partners have the capacity to deliver benefits to or involve women? If yes, how?
2. What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
3. What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

Points to consider relating to *Project Impact:*

1. Who are the target beneficiaries?
    a. Disaggregate the beneficiaries by sex.

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[64] For further reference see the UNDP Gender Equality Strategy (2014-2017) which outlines the organization's commitment to promoting gender equality and women's empowerment. The strategy was prepared in conjunction with the UNDP Strategic Plan and is operationalized in parallel with it: http://www.undp.org/content/undp/en/home/librarypage/womens-empowerment/gender-equality-strategy-2014-2017.html and the GEF Policy on Gender Mainstreaming, which provides guidance on how the GEF addresses gender mainstreaming in its policies, programmes, and operations: http://www.thegef.org/gef/policy/gender.

[65] The PAC is a standard UNDP procedure for all projects. According to the POPP, it is a required step before a project can be approved by UNDP. For more information, see: https://info.undp.org/global/popp/ft/ppmp/Pages/Project-Management.aspx

   b. Talk to women as well as men during interviews and site visits.
2. How does the project impact gender equality in the local context?
   a. How does the project engage with women and girls?
   b. Is the project likely to have the same positive and/or negative effects on women and men, girls and boys?
   c. Identify, if possible, legal, cultural, or religious constraints on women's participation in the project.
   d. What can the project do to enhance its gender benefits?
3. Why are the issues addressed by the project particularly relevant to or important for women and girls?
4. How are women and girls benefiting from project activities (even if these are unplanned/unintended results)? [N.B. Unplanned/unintended gender results, which may be reported in the PIR Gender section or identified by the MTR, should be incorporated into the project's results framework's outcomes, indicators and targets.]
5. Is there any potential negative impact on gender equality and women's empowerment? What can the project do to mitigate this?

For further information on integrating gender equality into evaluation, please see the UNEG Integrating Human Rights and Gender Equality in Evaluation- Towards UNEG Guidance:
http://www.unesco.org/new/fileadmin/MULTIMEDIA/HQ/IOS/temp/HRGE%20Handbook.pdf

Annex 10. Recommendations Table

Note: This is a guidance chart for the MTR Team in designing recommendations to the project.

Rec #	Recommendation[66]	Entity Responsible
A	*(State Outcome 1)* (Outcome 1)	
A.1	**Key recommendation:**	
A.2		
A.3		
B	*(State Outcome 2)* (Outcome 2)	
B.1	**Key recommendation:**	
B.2		
B.3		
C	*(State Outcome 3)* (Outcome 3), etc.	
C.1	**Key recommendation:**	
C.2		
C.3		
D	Project Implementation & Adaptive Management	
D.1	**Key recommendation:**	
D.2		
D.3		
E	Sustainability	
E.1	**Key recommendation:**	
E.2		
E.3		

[66] Recommendations should be "SMART": Specific, Measurable, Achievable, Relevant, Time-bound (however, giving a suggested time frame is not mandatory for recommendations from the MTR Team; the project management should address the time frame of actions in the management response)

Annex 11. 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*)

The following comments were provided in track changes to the draft Midterm Review report; they are referenced by institution ("Author" column) and track change comment number ("#" column):

Author	#	Para No./ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken

Annex 12. Report Content Review Checklist

Note: The following is a MTR report content review checklist for the UNDP-GEF Programme Associate (PA) and the RTA to use in the MTR report review process. All of the components on this checklist might not be in exact order in the MTR report; however, these aspects should be adequately represented somewhere in the report. The PA should examine the report for content review, highlighting compliance with the ToR. The RTA should examine the report for quality assurance, highlighting (i) factual errors, (ii) issues of lack of evidence / possible bias in statements; (iii) gaps in analysis; (iv) issues with the structure and readability of the report; and (v) adequate justification of ratings, conclusions, and recommendations.

#	Item	Included and at satisfactory standards?	Comments
i.	**Basic Report Information** *(to be included in opening/title page)*		
	Title of UNDP supported GEF financed project		
	UNDP PIMS# and GEF project ID#		
	MTR time frame and date of MTR report		
	Region and countries included in the project		
	GEF Operational Focal Area/Strategic Program		
	Executing Agency/Implementing Partner and other project partners		
	MTR team members		
	Acknowledgements		
ii.	**Table of Contents**		
	List, with page numbers		
iii.	**Acronyms and Abbreviations**		
	List		
1.	**Executive Summary** *(approximately 5 pages)*		
	Project Information Table		
	Brief Project Description		
	Project Progress Summary (between 200-500 words)		
	MTR Ratings & Achievement Summary Table		
	Concise summary of conclusions		
	Recommendations Summary (using the template summary table or otherwise)		
2.	**Introduction** *(2-3 pages)*		
	Purpose of the MTR and objectives		
	Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR		
	Structure of the MTR report		
3.	**Project Description and Background Context** *(3-5 pages)*		
	Development Context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope		

	Problems that the project sought to address: threats and barriers targeted		
	Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)		
	Project Implementation Arrangements: short description of Project Board, key implementing partners arrangements, etc.		
	Project timing and milestones		
	Main stakeholders: summary list		
4.	**Findings** *(12-14 pages)*		
4.1	**Project Strategy**		
	Project Design		
	Results Framework/Logframe Analysis		
4.2	**Progress Towards Results**		
	Progress towards outcomes analysis		
	Remaining barriers to achieving the project objective		
4.3	**Project Implementation & Adaptive Management**		
	Management Arrangements		
	Work planning		
	Finance and co-finance		
	Project-level Monitoring and Evaluation Systems		
	Stakeholder Engagement		
	Reporting		
	Communications		
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 & Recommendations** *(4-6 pages)*		
5.1	Conclusions (can alternatively be incorporated throughout the report) are justified with evidence		
5.2	Recommendations are specific, realistic, and concise		
6.	**Annexes**		
	MTR ToR (excluding ToR annexes)		
	MTR matrix (evaluation criteria with key questions, indicators, sources of data, and methods to collect data)		
	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 report body)		
	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.)		

Annex 13. Management Response Template

Management response to the Midterm Review of (*title of the MTR)*[67]

Project Title:
Project PIMS #:
GEF Project ID (PMIS) #:
Midterm Review Mission Completion Date:
Date of Issue of Management Response:

Prepared by: *This will most likely be the Commissioning Unit*

Contributors: *For example, the UNDP-GEF RTA, the MTR team, the Project Board*

Cleared by: *The Commissioning Unit, UNDP-GEF RTA, Project Board*

Context, background and findings

1. *Insert here up to several paragraphs on context and background and UNDP's response to the validity and relevance of the findings, conclusions and recommendations.*

2. *Second paragraph.*

3. *Third paragraph, etc.*

Recommendations and management response

Midterm Review recommendation 1.				
Management response:				
Key action(s)	**Time frame**	**Responsible unit(s)**	**Tracking**[68]	
			Comments	**Status**[69]
1.1				

[67] This template is in alignment with the Management Response Template for UNDP project-level evaluations in the Evaluation Resource Centre.
[68] If the MTR is uploaded to the ERC, the status of implementation is tracked electronically in the Evaluation Resource Centre database (ERC).
[69] Status of Implementation: Completed, Partially Completed, Pending.

1.2				
1.3				

Midterm Review recommendation 2.				
Management response:				
Key action(s)	**Time frame**	**Responsible unit(s)**	**Tracking**	
			Comments	**Status**
2.1				
2.2				
2.3				

Midterm Review recommendation 3.				
Management response:				
Key action(s)	**Time frame**	**Responsible unit(s)**	**Tracking**	
			Comments	**Status**
3.1				
3.2				
3.3				

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