

Midterm Review Inception Report

October 2017

Improving Management Effectiveness of the Protected Area Network

UNDP PIMS ID: 4943

GEF Project ID: 4848

Country: South Africa

Region: Africa

Focal Area: Biodiversity (GEF-5)

GEF Agency: United Nations Development Programme (UNDP)

Executing Agencies: Department of Environmental Affairs
South African National Parks
Mpumalanga Tourism and Parks Agency
South African National Biodiversity Institute
CapeNature
East Cape Parks and Tourism Agency
Limpopo Department of Economic Development, Environment and Tourism

Prepared by:

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IC/2017/UNDP/21

Midterm Review Opening Page:

PROJECT DETAILS:

Project Name:	Improving Management Effectiveness of the Protected Area Network	
Project ID:	UNDP PIMS ID: 4943	GEF Project ID: 4848
Country:	South Africa	
Region:	Africa	
Focal Area:	Biodiversity (GEF-5)	
Strategic Programs:	Objective BD-1: Improve Sustainability of Protected Area Systems Outcome 1.1: Improved Management Effectiveness of Existing and New Protected Areas Outcome 1.2: Increased revenue for protected area systems to meet total expenditures required for management	
Funding Source:	GEF Trust Fund	
Implementing Agency:	United Nations Development Programme	
Implementation Modality:	National Implementation Modality (NIM)	
Executing Agencies:	Department of Environmental Affairs; South African National Parks; Mpumalanga Tourism and Parks Agency; South African National Biodiversity Institute; CapeNature; East Cape Parks and Tourism Agency; Limpopo Department of Economic Development, Environment and Tourism	

FINANCIALS:

Project Preparation Grant:	USD 100,000
GEF Project Grant:	USD 8,550,000
Cofinancing Total:	USD 49,559,113
GEF Agency Fees:	USD 855,000
Total Cost:	USD 58,209,113

PROJECT TIMELINE:

Received by GEF:	12 March 2012
Preparation Grant Approved:	25 October 2012
Concept Approved:	01 June 2012
Project Approved for Implementation:	04 March 2014
State Date:	29 June 2015
Closing Date (Planned):	30 September 2019

MIDTERM REVIEW DETAILS:

Midterm Review Timeframe:	October-December 2017
MTR Consultant:	James Lenoci
MTR Reporting Language:	English

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Abbreviations and Acronyms

Exchange Rate, ZAR:USD (10 October 2017) = 13.7365

APR	Annual Project/Progress Report
AWP	Annual Work Plan
CBD	Convention on Biological Diversity
CO	(UNDP) Country Office
CPD	(UNDP) Country Programme Document
CSIR	Council for Scientific and Industrial Research
DAFF	Department of Agriculture, Fisheries and Forestry
DBSA	Development Bank of South Africa
DEA	Department of Environmental Affairs
ECPTA	Eastern Cape Parks and Tourism Agency
GEF	Global Environment Facility
LEDET	Limpopo Department of Economic Development Environment and Tourism
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
MTPA	Mpumalanga Tourism and Parks Agency
MTR	Midterm Review
NBSAP	National Biodiversity Strategy and Action Plan
NIM	National Implementation Modality
NGO	Non-Governmental organization
NP	National Park
PA	Protected Area
PATU	Protected Area Technical Unit
PIR	Project Implementation Report
PMU	Project Management Unit
PPG	(GEF) Project Preparation Grant
PSC	Project Steering Committee
RTA	(UNDP) Regional Technical Advisor
SANBI	South African National Biodiversity Institute
SANParks	South African National Parks
SBAA	Standard Basic Assistance Agreement
SCF	(United Nations) Strategic Cooperation Framework
SDG	Sustainable Development Goal
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
USD	United States Dollar
ZAR	South African Rand

1. INTRODUCTION

1.1. Background and Context

This document is the inception report for the midterm review of the UNDP supported, GEF financed project entitled: “Improving Management Effectiveness of the Protected Area Network”.

The project seeks to expand representation of globally important terrestrial habitats by establishing new protected areas (PAs) covering 197,000 ha in South Africa. The Protected Area estate at baseline was not effectively representative of the full range of globally important species and habitats in the three biodiversity hotspots in South Africa (*Succulent Karoo*, *Cape Floral Kingdom* and *Maputaland Pondoland Albany Hotspot*); and as a result, key critical biodiversity areas within these remained under-protected and at risk of loss or degradation of habitat from several factors. Traditional PA expansion through land purchase was considered no longer cost effective given the shrinking budgets of conservation agencies.

The project focuses on using low cost mechanisms for land acquisition and management in order to rapidly expand the PA network to secure globally important biodiversity. The project design includes facilitation of contractual and stewardship arrangements with private and communal landowners, as well as transfers and formalization of conservation tenure of state land to rapidly expand the PA network. This was envisaged both at a site level, and also across the PA network. A major focus is ensuring appropriate, cost-effective and efficient co-management of the low cost PA expansion areas, as well as ensuring these areas are fully integrated into the state PA network.

The project also seeks to ensure that the current protected area estate is effectively managed in order not to reverse conservation gains achieved in recent years. Management effectiveness is envisaged to be increased on 1,100,000 ha through integrated management planning, monitoring, evaluation and improved PA buffer zone interventions. And, the project seeks to ensure financial sustainability of the PA estate through reducing costs of expansion, improving cost efficiencies within PA management agencies, including improving the resilience of existing income streams, financial governance, and strengthening benefit-sharing arrangements.

1.2. Objectives of the Midterm Review

The objective of the MTR is to gain an independent analysis of the progress mid-way through the project. The MTR will identify potential project design issues, assess progress towards the achievement of the project objective, identify and document lessons learned about project design, implementation and management. It will focus on the impact, effectiveness, efficiency, relevance and sustainability and highlight challenges as well as lessons learned in the project implementation thus far. The MTR will assess early signs of project success or failure and identify the necessary changes to be made. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project’s term. Project performance will be measured based on the indicators of the project’s strategic results framework and relevant GEF tracking tools.

1.3. Risks and Assumptions

The MTR will be carried out over the period of October-December 2017; including preparatory activities, field mission, desk review, and completion of the MTR report. The following risks and assumptions are highlighted for the evaluation:

Stakeholder feedback: As time is of the essence, there is a risk that there will be insufficient time to obtain feedback from the key stakeholders. Efforts will be made to interview the key stakeholders in person during the MTR mission. As necessary, additional interviews will be arranged via Skype or telephone, for those stakeholders who are unavailable during the mission or do not reside in the region. The MTR consultant assumes that the information obtained over the course of the evaluation time period will be representative.

Field visits: As time and budget is limited for the evaluation, the MTR consultant might not be able to visit all of the project-supported field activities. The MTR consultant assumes that the sites visited during the evaluation mission are representative of the work completed to date. For the sites that will not be visited, the MTR consultant will attempt to reach out to local representatives there via telephone or other means.

Assistance from PMU: The MTR consultant assumes that the project management unit (PMU) will provide assistance in scheduling interviews, in making travel and other logistical arrangements for interviews and field visits, and providing independent translation/interpretation assistance, if required, e.g., in communicating with representatives from local communities.

Language Considerations: The project documentation is prepared in English. The MTR consultant assumes that the PMU will provide interpretation assistance during the field mission, if required.

2. METHODOLOGY

2.1. Guidelines

The overall approach and methodology of the evaluation follows the guidelines outlined in the UNDP Guidance for Conducting Midterm Reviews (MTRs) of UNDP-supported, GEF-financed Projects¹.

2.2. Scope of Evaluation

The MTR will be an evidence-based assessment and will rely on feedback from persons who have been involved in the design, implementation, and supervision of the project, and also review of available documents and findings made during field visits. The MTR mission is planned over the period of 20 November through 5 December 2017 according to the preliminary itinerary compiled in **Annex 1**. The MTR also includes desk review of available reports and other documents, as listed in **Annex 2**. This list will be amended as more information is obtained, and the final list of information reviewed will be included in the final MTR reports. The scope of work for the MTR is summarized below.

Progress towards Results

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions made by the project. Identify new assumptions.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards results.
- Review the baseline data included in the project results framework and GEF Tracking tool and suggest revisions as necessary.

Progress:

- Assess the outputs and progress toward outcomes achieved so far and the contribution to attaining the overall objective of the project. Progress towards results will be assessed according to the achievements realized by midterm, applying the project results framework.
- Examine if progress so far has led to, or could in the future lead to, 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.
- Examine whether progress so far has led to, or could in the future lead to, potentially adverse environmental and/or social impacts/risks that could threaten the sustainability of the project outcomes. Are these risks being managed, mitigated, minimized or offset? Suggest mitigation measures as needed.
- Review the extent to which the implementation of the project has been inclusive of relevant stakeholders and to which it has been able to create collaboration between different partners. Identify opportunities for stronger substantive partnerships.

¹ Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects, 2014, UNDP-GEF Directorate.

Progress towards Results Rating Scale

Highly Satisfactory (HS)	Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
Satisfactory (S)	Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
Moderately Satisfactory (MS)	Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.
Moderately Unsatisfactory (MU)	Project is expected to achieve its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.
Unsatisfactory (U)	Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.
Highly Unsatisfactory (U)	The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

Project Implementation and Adaptive Management

Management Arrangements

- a) 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.
- b) Review the quality of execution of the project Implementing Partners and recommend areas for improvement.
- c) Review the quality of support provided by UNDP and recommend areas for improvement.

Work Planning:

- a) Are work planning processes result-based? If not, suggest ways to re-orientate work planning to focus on results.
- b) Examine the use of the project document logical/results framework as a management tool and review any changes made to it since project start. Ensure any revisions meet UNDP-GEF requirements and assess the impact of the revised approach on project management?

Finance and cofinance:

- a) Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- b) Review the summary of cofinancing realized by midterm which will be compiled by the PMU.
- c) Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.

Monitoring Systems:

- a) Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required?
- b) Ensure that the monitoring system, including performance indicators, meet GEF minimum requirements. Apply SMART indicators as necessary.
- c) Ensure broader development, social inclusion, and gender aspects of the project are being monitored effectively. Develop SMART indicators, including disaggregated gender indicators as necessary.
- d) Review the midterm GEF Tracking Tool (s) as appropriate and comment on progress made, quality of the submission, and overall value of the GEF Tracking Tool.
- e) Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to M&E? Are these resources being allocated effectively?

Stakeholder Engagement

- a) Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- b) 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?
- c) 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?

Risk Management

- a) Validate whether the risks identified in the project document, project inception report, APR/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate. If not, explain why?
- b) Describe any additional risks identified and suggest risk ratings and possible risk management strategies to be adopted.

Reporting

- a) Assess how adaptive management changes have been reported by the project management, and shared with the Project Board (project steering committee).
- b) Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.
- c) 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?)

Communications

- a) 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?
- b) 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?).
- c) 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.
- d) Suggest aspects of the project that might yield excellent communications material, if applicable.

Project Implementation and Adaptive Management Rating Scale

Highly Satisfactory (HS)	The project has no shortcomings and can be presented as “good practice”.
Satisfactory (S)	The project has minor shortcomings.
Moderately Satisfactory (MS)	The project has moderate shortcomings.
Moderately Unsatisfactory (MU)	The project has significant shortcomings.
Unsatisfactory (U)	The project has major shortcomings.
Highly Unsatisfactory (HU)	The project has severe shortcomings.

Sustainability

Review of the sustainability of the project during the MTR is meant 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 consultant will 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.

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

2.3. Indicators and Evaluation Questions

An evaluation matrix is compiled in **Annex 3**. The evaluation matrix will be used as quality assurance tool for the MTR. The project logical results framework will also be used as an evaluation tool, in assessing attainment of project objective and outcomes against indicators (see **Annex 4**). Assessing the attainment of objective and outcomes will also be informed by the evidence of progress towards outputs (see **Annex 5**).

Information regarding management arrangements (see **Annex 6**) and project cofinancing (see **Annex 7**) will also be collected and analysed as part of the MTR.

2.4. Report Structure and Content

The MTR report will be prepared in accordance with the outline specified in the UNDP-GEF guideline, which is adapted and compiled in **Annex 8** of this inception report. The report will start out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation will then be broken down into the following categories:

1. Project Strategy
2. Progress Towards Results
3. Project Implementation and Adaptive Management
4. Sustainability

The report will also include a summary of the conclusions, presented as 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. Finally, the report will include the recommendations, listed under the following categories:

- 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

A maximum number of 15 recommendations will be enumerated.

2.5. Ethics

The MTR will be conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the MTR consultant has signed the Evaluation Consultant Code of Conduct Agreement form (see **Annex 9**). In particular, the MTR consultant ensures the anonymity and confidentiality of individuals who will be interviewed and surveyed. In respect to the UN Declaration of Human Rights, results will be presented in a manner that clearly respects stakeholders’ dignity and self-worth.

3. PREPARATIONS TO BE COMPLETED BY PMU AND UNDP CO

Based upon preliminary review of project documentation, the PMU and UNDP Country Office (CO) are requested to make the following preparations prior to the start of the mission:

1. MTR Mission Itinerary

The MTR consultant requests support from the PMU in finalizing the MTR mission itinerary, using the table compiled in **Annex 1** to this inception report, and for making domestic travel arrangements and organizing relevant stakeholder interviews and field visits.

The MTR consultant suggests that interviews be made with representatives of the implementing partners, other participating organisations and experts, including but not limited to the following:

- UNDP
- Department of Environmental Affairs;
- South African National Parks;
- Mpumalanga Tourism and Parks Agency;
- South African National Biodiversity Institute;
- CapeNature;
- Eastern Cape Parks and Tourism Agency;
- Limpopo Department of Economic Development, Environment and Tourism
- Kruger to Canyons (K2C) biosphere region non-governmental organisation
- Etc.

Regarding field visits, the MTR consultant suggests that arrangements be made to visit representative sites within each of the three targeted biodiversity hotspots, including:

1. Succulent Karoo
2. Cape Floral Kingdom
3. Maputaland Pondoland Albany Hotspot

As part of the field visits, interviews should also be arranged with representatives of involved municipalities and local communities.

2. Progress towards results

The MTR consultant requests the PMU to provide information on progress towards results, using the version of the project results framework compiled as **Annex 4** to this MTR inception report. Please fill in the cells highlighted in yellow.

3. Progress towards project outputs

Please provide information on progress towards project outputs, by filling in information on activities completed and/or initiated for each output, in the cells below highlighted in yellow in the tables compiled in **Annex 5**. Please insert additional rows, as necessary.

4. Management Arrangements

- a. **Organization Chart:** It would be useful to see the management arrangements illustrated on an organigram. Such an organization chart is not included in the project document or inception workshop memorandum. Please prepare an organigram.
- b. **PATU and PMU staff, Executing Agency staff, and Technical Assistance Consultants:** Please fill in the information indicated in the tables compiled in **Annex 6** – highlighted in yellow.

5. Cofinancing

Please provide information on actual cofinancing realized through midterm. The cofinancing table is included as **Annex 7** to this MTR inception report. Please fill in the cells highlighted in yellow.

Please provide explanations of what activities are covered for each cofinancing line item.

Please also include cofinancing contributions that have materialized during implementation; there are separate line items allocated in the cofinancing table.

6. Additional documents requested

- a. GEF tracking tools, midterm assessments;
- b. Combined delivery reports for 2015, 2016, and 2017 (Jan-Sep), broken down by component and project management;
- c. If financial audits have been completed, please have the audit reports available by the time of the MTR mission;
- d. Asset register, in Excel format;
- e. The PMU is requested to make available monitoring reports, back-to-office-reports, and other relevant internal documents. It is sufficient if this information is available at the PMU office at the time of the mission;
- f. Please provide copies of the most recent UNDP Country Programme Document (CPD) and UN Strategic Cooperation Framework (SCF), and any progress and/or evaluation reports made of the CPD and/or SCF in the past 2-3 years;
- g. The PMU is requested to compile information regarding partnership arrangements, including such documents as memorandums of understanding, sub-contractor and consultancy agreements, etc.

4. LOGISTICS AND SUPPORT

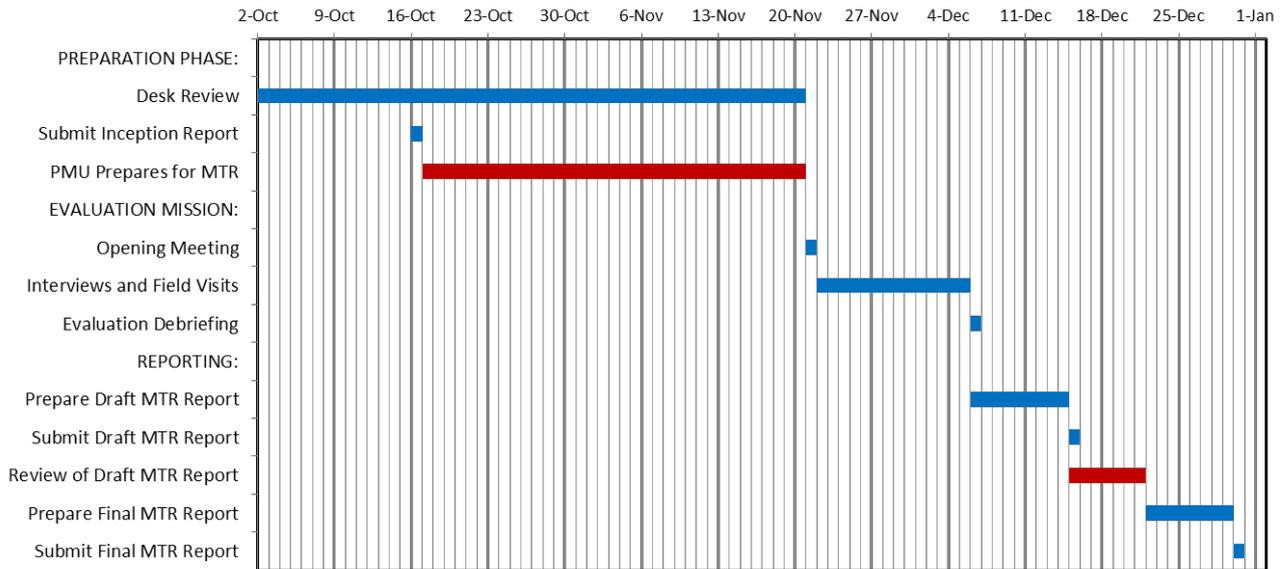
The PMU and/or the UNDP Country Office are expected to provide the following support:

- Arrange interviews with project stakeholder and visits to field sites;
- Arrange and cover the expenses for domestic travel for stakeholder meetings and field visits;
- Arrange accommodation reservations (payments will be made by the MTR consultant);
- Provide an independent interpreter to support the MTR consultant, if required.

In order to provide stakeholders uninhibited opportunities for providing feedback, there might be occasions when the MTR consultant asks the PMU staff members not to participate during certain parts of the interviews.

5. WORK PLAN

The proposed MTR work plan over the period of October-December 2017 is outlined below.



6. ANNEXES

Annex 1: MTR Mission Itinerary

Instruction to PMU: please fill in cells highlighted in yellow.

Date	Time	Location	Description
Monday, 20 Nov	...	Johannesburg, Pretoria	International Consultant arrives to Johannesburg on flight ...; will take Gautrain to Pretoria
	...	Pretoria	Briefing at UNDP CO office
Tuesday, 21 Nov	09.00 - ...	Pretoria	Opening meeting at DEA office

Wednesday, 22 Nov

Thursday, 23 Nov

Friday, 24 Nov

Saturday, 25 Nov

Sunday, 26 Nov

Monday, 27 Nov

Tuesday, 28 Nov

Wednesday, 29 Nov

Thursday, 30 Nov

Friday, 01 Dec

Midterm Review Inception Report, October 2017

Improving Management Effectiveness of the Protected Area Network (South Africa)

UNDP PIMS ID: 4943; GEF Project ID: 4848

Date	Time	Location	Description

Saturday, 02 Dec

Sunday, 03 Dec

Monday, 04 Dec

Tuesday, 05 Dec	MTR Debriefing

	...		Wrapping up
Wednesday, 06 Dec			International consultant departs

Annex 2: List of Documents and Reports

1. Project Identification Form (PIF);
2. UNDP Initiation Plan;
3. UNDP Project Document;
4. GEF CEO Endorsement Request
5. UNDP Environmental and Social Screening results;
6. Project inception report;
7. Annual work plans for each year of implementation;
8. Annual financial project reports (combined delivery reports - CDR), broken down by components and project management;
9. Cofinancing records
10. Project Implementation Reports (PIR's)
11. Quarterly Progress Reports (QPRs) and Annual Progress Reports (APRs)
12. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm
13. Consultancy products (report, technical studies, etc.);
14. Project Steering Committee meeting minutes
15. Audit reports;
16. Asset register;
17. Communication products;
18. Oversight mission reports;
19. Monitoring reports by the project
20. Community consultations minutes, if available;
21. UNDP Country Programme Document;
22. UN Strategic Cooperation Framework (SCF);

Annex 3: Interpretive Evaluation Matrix

Theme	Indicator	Sources	Methodology
Project Strategy			
Project Design:	To what extent is the project suited to local and national development priorities and policies?	National development strategies, sector plans, medium term development plan, project document	Desk review, interviews
Project Design:	To what extent is the project in line with GEF operational programs?	GEF focal area strategies, project design, PIR reports	Desk review, interviews
Project Design:	To what extent are the objectives and design of the project supporting regional environment and development priorities?	UN SCF, UNDP CPD, regional treaties and agreements, etc.	Desk review, interviews
Project Design:	Project design remains relevant in generating global environmental benefits.	GEF strategies, national and subnational development plans, PIF, project document, CEO endorsement request, reviews, PIRs	Desk review, interviews
Results Framework:	Results framework fulfils SMART criteria and sufficiently captures the added value of the project.	Strategic results framework, tracking tools, inception report, PIRs	Desk review, interviews
Results Frameworks:	What changes could be made (if any) to the design of the project in order to improve the achievement of the project's expected results?	SMART analysis of results framework, current national and local development strategies	Desk review, interviews
Mainstreaming:	Broader development objectives are represented in the project design.	Project document, social and environmental social screening procedure, gender action plan, work plans for community activities, training records, monitoring reports of community activities, project steering committee meeting minutes, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Progress towards Results			
Progress towards Outcomes Analysis:	Has the project been effective in achieving the expected outcomes and objective?	PIRs, self-assessment reports by PMU, annual reports, monitoring reports, output level deliverables, midterm tracking tool, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Progress towards results:	To what extent has the project increased institutional capacity to sustainably manage the national protected area system?	Progress reports, national and local development strategies, etc.	Desk review, interviews, field visits.
Progress towards results:	How has the project been able to influence monitoring and evaluation associated with protected area management?	Progress reports, national and local development strategies, budget allocations, increased level of awareness	Desk review, interviews, field visits
Risk management:	What were the risks	Project document, risk log, progress	Desk review,

Theme	Indicator	Sources	Methodology
	involved and to what extent were they managed?	reports	interviews, field visits
Lessons learned:	What lessons have been learned from the project regarding achievement of outcomes?	Progress reports, lessons learned reports, back-to-office reports	Desk review, interviews
Remaining Barriers to Achieving the Project Objective:	Delivered outputs address key barriers.	PIRs, annual reports, project steering committee meeting minutes, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Project Implementation & Adaptive Management			
Management Arrangements, GEF Partner Agency:	Lessons learned on other projects incorporated into project implementation.	PIRs, project steering committee meeting minutes, audit reports, feedback obtained during MTR mission	Desk review, interviews
Management Arrangements, Executing Agency/Implementing Partner:	Effective management response to recommendations raised by project steering committee.	PIRs, project steering committee meetings, feedback obtained during MTR mission	Desk reviews, interviews
Work Planning:	Milestones within annual work plans consistent with indicators in strategic results framework.	Project document, multi-year work plan, annual work plans, PIRs, financial expenditure reports, feedback obtained during MTR mission	Desk review, interviews
Finance and Cofinance:	Efficient financial delivery.	Financial expenditure reports, combined delivery reports, audit reports, project steering committee meeting minutes, PIRs, midterm cofinancing report, feedback obtained during MTR mission	Desk review, interviews
Cost-effectiveness:	How cost-effective have the project interventions been?	Analysis of progress towards results, financial delivery	Desk review, interviews, field visits
Project-level Monitoring and Evaluation Systems:	Timely implementation of adaptive management measures.	PIRs, midterm tracking tools, monitoring reports, annual progress reports, self-assessment reports by PMU, project steering committee meeting minutes, feedback obtained during MTR mission	Desk review, interviews, field visits
Stakeholder Engagement:	Inclusive and proactive stakeholder involvement.	Stakeholder involvement plan in the project document, meeting minutes, records of exchange visits, stakeholder feedback obtained during MTR mission	Desk review, interviews, field visits
Partnership Arrangements:	How effective have partnership arrangements been?	Partnership agreements, contracts, progress reports, cofinancing realized	Desk review, interviews, field visits
Local Capacity Utilized:	Has the project efficiently utilized local capacity in implementation?	Contracts, financial expenditure records, progress reports	Desk review, interviews, field visits
Reporting:	Adaptive management measures implemented in response to recommendations recorded in PIRs.	PIRs, annual progress reports, midterm tracking tools, output level project deliverables, feedback obtained during MTR mission	Desk review, interviews
Communication:	Project information is effectively managed and disseminated.	Internet and social media, press releases, media reports, statistics on awareness campaigns, evidence of changes in behaviour, feedback obtained during MTR mission	Desk review, interviews, field visits

Theme	Indicator	Sources	Methodology
Sustainability			
Risk Management:	Timely delivery of project outputs.	Project document, risk logs, PIRs, project steering committee meeting minutes, feedback during MTR mission	Desk review, interviews
Lessons Learned:	What lessons can be drawn regarding sustainability of project results, and what changes could be made (if any) to the design of the project in order to improve sustainability of project results?	Progress reports, monitoring and evaluation reports, feedback from stakeholders, current national and local development strategies and sector plans	Desk review, interviews, field visits
Financial Risks to Sustainability:	Verifiable progress towards improving sustainability.	Budget allocations, progress reports, government publications	Desk review, interviews, field visits
Socio-Economic Risks to Sustainability:	Verifiable progress towards improving sustainability	Project outputs realised, progress reports	Desk review, interviews, field visits
Institutional Framework and Governance Risks to Sustainability:	Verifiable progress towards improving sustainability	Tracking tool, training records, evidence of policy reform	Desk review, interviews, field visits
Environmental Risks to Sustainability:	Verifiable progress towards improving sustainability	Tracking tool, budget allocations, training record, statistics on awareness campaigns	Desk review, interviews, field visits
Impact			
Verifiable improvements to the resilience of water resources to the impacts of climate change, and improvement of health, sanitation, and quality of life.	To what extent has the project contributed to verifiable improvements to the resilience of water resources to the impacts of climate change, and improvement of health, sanitation, and quality of life?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits

Annex 4: Progress towards Results

Instruction to PMU: please fill in cells highlighted in yellow.

Indicator	Baseline	End of Project target	2017 Level (self-reported) ¹	Midterm Assessment	MTR Assessment Justification
Objective: Improve the sustainability of Protected Area Systems					
1. Area under the national PA network	7,900,000 ha	8,077,000 ha			
2. METT scores for all reserves in project	60.8%	73.7%			
3. Hectares of high biodiversity priority in buffer zones integrated into local municipal planning mechanisms or with PA declaration	0	100,000			
4. Financial sustainability scorecard for national PA network	0	Not indicated			
Outcome 1: National PA estate expanded by 197,000 ha over a baseline of 7.9 million ha resulting in increased representation of the following globally important terrestrial habitats currently under-represented in the PA system					
5. Area under the national PA network	7,990,000 ha	8,077,000 ha			
Area of <i>Succulent Karoo</i> protected	0	18,000 ha			
Area in the <i>Maputaland-Pondoland-Albany</i> PA system protected	0	148,000 ha			
Area of <i>Lowlands fynbos and renosterveld</i> protected	0	31,000 ha			
Outcome 2.1: Improved PA management effectiveness delivers enhanced protection to 1,100,000 ha of new and existing PAs					

¹ Information in this column copied from 2016 project implementation review (PIR).

Midterm Review Inception Report, October 2017

Improving Management Effectiveness of the Protected Area Network (South Africa)

UNDP PIMS ID: 4943; GEF Project ID: 4848

Indicator	Baseline	End of Project target	2017 Level (self-reported) ¹	Midterm Assessment	MTR Assessment Justification
6. GEF METT scores for each of the existing and new PAs brought on during implementation					
SANParks:					
Kruger:	75%	80%			
Camdeboo:	71%	75%			
Mountain Zebra:	71%	75%			
West Coast:	67%	75%			
Richtersveld:	65%	70%			
Richtersveld Coastal:	11%	50%			
CapeNature:					
Riverlands:	68%	72%			
ECPTA:					
East London:	51%	71%			
Baviaanskloof:	90%	93%			
Mpofu/Fort Fordyce:	60%	80%			
Ongeluksnek NR:	66%	66%			
Mkambathi:	81%	85%			
Silaka:	75%	76%			
Hlukea:	75%	76%			
Great Fish:	87%	90%			
MTPA:					
Blyde:	59%	73%			
Manyaleti:	65%	73%			
Andover:	52%	73%			
Bushbuck Ridge:	26%	73%			
LEDET:					
Hans Merensky:	38%	51%			

Midterm Review Inception Report, October 2017

Improving Management Effectiveness of the Protected Area Network (South Africa)

UNDP PIMS ID: 4943; GEF Project ID: 4848

Indicator	Baseline	End of Project target	2017 Level (self-reported) ¹	Midterm Assessment	MTR Assessment Justification
Letaba Ranch:	37%	54%			
Makhuya:	49%	59%			
Outcome 2.2: Improved PA management effectiveness through effective integrated interventions in buffer zones covering 100,000 ha around three national parks and/or provincial reserves through implementation of buffer zone policy and interventions including improved land use controls					
7. Hectares of high biodiversity priority in buffer zones integrated into local municipal planning mechanisms for (to be achieved through the application of appropriate conservation compatible categories in local authority land use plans, or protected by appropriate PA or PE declarations:	0	100,000 ha			
Kruger National Park buffer	0	Not indicated			
Mountain Zebra-Camdeboo National Park buffer	0	Not indicated			
West Coast National Park buffer	0	Not indicated			
Outcome 3.1: PA expansion costs per hectare reduced by 60% over a baseline of USD 500/ha by introducing partnerships for PA management and reducing direct purchase of state and other land for PA expansion					
8. Reduction in average cost of PA expansion	USD 500/ha	USD 200/ha			
Outcome 3.2: To improve the financial sustainability of the expanded PA network by optimizing and diversifying revenue streams and by improving cost efficiencies					
9. Diversification and increase in PA income and revenue streams	Financing gap between available funds and basic management requirements: 44.7%	Reduce the financing gap to 35%			
	Financial robustness of the PA network as measured by the Financial Scorecard: Component 1 – Legal, regulatory and institutional frameworks: 51%	Improve the financial robustness of the PA network as measured by the Financial Scorecard: Component 1 – Legal, regulatory and institutional frameworks: 60%			
	Component 2 – Business planning and tools for cost-effective management: 46%	Component 2 – Business planning and tools for cost-effective management: 60%			
	Component 3 – Tools for revenue generation by PAs: 31%	Component 3 – Tools for revenue generation by PAs: 50%			

Annex 5: Progress towards Outputs

Instruction to PMU: please provide information on progress towards project outputs, by filling in information on activities completed and/or initiated for each output and partners involved, in the cells below highlighted in yellow. Please insert additional rows, as necessary.

Component 1: The establishment of new protected areas

Outcome 1: National protected area estate expanded by 197,000 ha over a baseline of 7.9 million ha, resulting in increased representation of the following globally important terrestrial habitats currently under-represented in the PA system

Activities completed and/or initiated by midterm	Involved partners
Output 1.1: Establishment of New Protected Areas in the Succulent Karoo Hotspot (Richtersveld Coastal)	
Outputs 1.2: Lowland climate change corridors in the Cape Floral Region (Riverlands/Pella - Dassenberg-West Coast)	
Outputs 1.3: Establishment of New Protected Areas in upland areas in the Cape Floral Region (Forest exit areas)	
Outputs 1.4: Establishment of New Protected Areas in upland areas of the Maputaland Pondoland Albany hotspot (Sneeuberg corridor linking Mountain Zebra and Camdeboo National Parks)	
Outputs 1.5: Establishment of New Protected Areas in upland areas of the Maputaland Pondoland Albany hotspot (Eastern Cape interior)	

Activities completed and/or initiated by midterm	Involved partners
Outputs 1.6: Establishment of New Protected Areas in lowland areas of the Maputaland Pondoland Albany hotspot (East Cape transfer and tenure formalization)	
Outputs 1.7: Establishment of New Protected Areas in lowland areas of the Maputaland Pondoland Albany hotspot (Kruger to Canyon)	

Component 2: Improve management effectiveness of new and existing protected areas

Outcome 2.1: Improved PA management effectiveness delivers enhanced protection to 1,100,000 ha of new and existing protected areas

Activities completed and/or initiated by midterm	Involved partners
Output 2.1: Capacity of PA staff to implement robust and low cost PA expansion improved by supporting to the low cost PA expansion processes	
Outputs 2.2: Cost effective management planning, monitoring and evaluation developed and implemented in existing and newly expanded PA	

Outcome 2.2: Improved PA management effectiveness through effective integrated interventions in buffer zones covering 100,000 ha around three national parks and/or provincial reserves through implementation of buffer zone policy and interventions including improved land use controls

Activities completed and/or initiated by midterm	Involved partners
Output 2.3: Implementation of the policy on Buffer Zones for National Parks for three areas:	
(a) Kruger National Park:	
(b) Dassenberg- West Coast Protected Area:	
(c) MountainZebra and Camdeboo National Parks:	

Component 3: Improving Financial Sustainability of the PA

Outcome 3.1: PA Expansion costs per hectare reduced by 60% over a baseline of US\$ 500/ha5 by introducing partnerships for PA management and reducing direct purchase of state and other land for protected area expansion

Activities completed and/or initiated by midterm	Involved partners
Output 3.1.1: Offset investments are optimized to facilitate low cost PA expansion and on-going management	
Outputs 3.1.2: Investments in ecological infrastructure are optimized to support low cost PA expansion and their management	

Activities completed and/or initiated by midterm	Involved partners
Output 3.1.3: Synergies between land reform and PA expansion are developed	
Output 3.1.4: Socio-economic opportunities and partnerships that would advance cost-effective expansion of the PA network and development of a biodiversity driven economy both in- and outside park buffer zones are identified	
Output 3.1.5: Key lessons learned from interventions under outcomes 3.1 and 3.2 are identified, analyzed, documented and shared	

Outcome 3.2: To improve the financial sustainability of the expanded PA network by optimizing and diversifying revenue streams and by improving cost efficiencies

Activities completed and/or initiated by midterm	Involved partners
Output 3.2.1: Existing financial income streams of the PA network and its ability to absorb external shocks is optimized and the governance efficiency of exiting income streams assessed	
Outputs 3.2.2: Other innovative financial instruments and mechanisms to improve the financial resilience of the PA network and its expansion are explored and identified	

Activities completed and/or initiated by midterm	Involved partners
Output 3.2.3: Analysis of cost effective resource allocation and efficiency of spending within the expanded low cost reserve network	

Annex 6: PATU and PMU staff, Executing Partner staff, and Technical Assistance consultants

Instruction to PMU: please provide information in cells highlighted in yellow.

Protected Area Technical Unit (PATU) and Project Management Unit (PMU): Please indicate the persons hired for the envisaged members of the PATU and PMU:

Position	TOR prepared Y/N	Position Procured Y/N	Position Filled Y/N	Contract Date	Contract Duration	Name
PATU:						
Project coordinator						
Accountant						
Paralegal/transfer specialist						
PMU:						
Procurement manager						
Bookkeeper						

Executing Partners: Based upon my understanding of the staff appointed among the executing partners are listed in the table below. Please fill in the table with the names of the people appointed, the agency/organization they represent, their physical location, and any relevant comments.

Position	Name	Office, Location	Comments
SANParks:			
Project manager			
Richtersveld-coastal corridor:			
PA expansion coordinator			
Dassenberg West Coast site (3 GEF appointed staff will report to BIONET):			
Appointed staff 1			
Appointed staff 2			
Appointed staff 3			
Western Cape forest exit areas:			
Paralegal/transfer officer			
Sneeuberg corridor linking Mountain Zebra and Camdeboo national parks:			
Stewardship officer			
Ecologist			
Eastern Cape interior and East Cape transfer and tenure formalization:			
Stewardship officer			
Paralegal/transfer officer			
Kruger to Canyons area:			
Proclamation/land transfer officer			
Stewardship officer			
Buffer zone officer			

Technical Assistance Consultants: Please indicate if terms of reference documents have been prepared for the envisaged technical consultants, which positions have been procured, and indicate the name of the person hired, the date of the relevant contract, and duration:

Position	TOR prepared Y/N	Position Procured Y/N	Position Filled Y/N	Contract Date	Contract Duration	Name of Consultant
Land transfer coordinator						
Stewardship officer						
Buffer extension officer						
Buffer Zone officer						
Project ecologist						
Technical expert, land transfers						
Technical expert, management effectiveness						

Annex 7: Cofinancing table

Instructions to PMU: Please fill in cells highlighted in yellow, providing itemized details of cofinancing realized by midterm. Please also include cofinancing that has materialized during implementation.

Note	Sources of Cofinancing ¹	Name of Cofinancer	Description of Actual Cofinancing Contributed at Stage of Midterm Review	Type of Cofinancing ²	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	Expected Amount by Project Closure ³ USD	Actual % of Expected Amount USD
	UNDP (GEF Agency)			Grant	\$1,000,000			
a		UNDP	...	Grant		\$0		
	UNDP, Sub-Total				\$1,000,000	\$0	\$0	#DIV/0!
	SANParks (National Government)			Grant	\$17,500,000			
b		SANParks	...	Grant		\$0		
	SANParks, Sub-Total				\$17,500,000	\$0	\$0	#DIV/0!
	CapeNature (National Government)			Grant	\$22,539,510.56			
c		CapeNature	...	Grant		\$0		
	CapeNature, Sub-Total				\$22,539,510.56	\$0	\$0	#DIV/0!
	Eastern Cape Parks (Provincial Government)			Grant	\$8,519,602			
d		ECPTA	...	Grant		\$0		
	ECPTA, Sub-Total				\$8,519,602	\$0	\$0	#DIV/0!
e								#DIV/0!
f								#DIV/0!
g								#DIV/0!
h								#DIV/0!
	Total				\$49,559,112.56	\$0	\$0	#DIV/0!
Notes:								
1	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							
2	Type of cofinancing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other							
3	Expected cofinancing figures based upon actual expenditures for years 2014-2016, and budget expenditures for years 2017 and 2018 obtained from the medium term development plan (MTDP 2016-2020)							
a								
b								

Midterm Review Inception Report, October 2017

Improving Management Effectiveness of the Protected Area Network (South Africa)

UNDP PIMS ID: 4943; GEF Project ID: 4848

Note	Sources of Cofinancing ¹	Name of Cofinancer	Description of Actual Cofinancing Contributed at Stage of Midterm Review	Type of Cofinancing ²	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	Expected Amount by Project Closure ³ USD	Actual % of Expected Amount USD
c								
d								
e								
f								
g								
h								

Annex 8: Evaluation Report Outline

- i. **Opening page**
 - Title of UNDP supported GEF financed project
 - UNDP and GEF project ID#s.
 - MTR time frame and date of review report
 - Region and countries included in the project
 - GEF Operational Program/Strategic Program
 - Implementing Partner and other project partners
 - MTR team members
 - Acknowledgements
- ii. **Table of Contents**
- iii. **Acronyms and Abbreviations**
1. **Executive Summary**
 - Project Summary Table
 - Project Description (brief)
 - MTR Ratings and Achievement Summary Table
 - Concise summary of conclusions
 - Recommendation summary table
2. **Introduction**
 - Purpose of the MTR and Objectives
 - Scope & Methodology
 - Structure of the review report
3. **Project description and development context**
 - Development context
 - Problems that the project sought to address
 - Project description and strategy
 - Project implementation arrangements
 - Project timing and milestones
 - Main stakeholders
4. **Findings**
 - 4.1 **Project Strategy**
 - Project Design
 - Results Framework / Logframe
 - 4.2 **Progress towards Results**
 - Progress toward Outcomes Analysis
 - Remaining Barriers to Achieving Project Objectives
 - 4.3 **Project Implementation and Adaptive Management**
 - Management Arrangements
 - Work Planning
 - Finance and Cofinance
 - Project-level Monitoring and Evaluation Systems
 - Stakeholder Engagement
 - Reporting
 - Communications
 - 4.4 **Sustainability**
 - Financial Risks to Sustainability
 - Socioeconomic Risks to Sustainability
 - Institutional Framework and Governance Risks to Sustainability
 - Environmental Risks to Sustainability
5. **Conclusions and Recommendations**
 - 5.1 **Conclusions**
 - 5.2 **Recommendations**
6. **Annexes**
 - Annex 1: MTR Itinerary and List of Persons Interviewed
 - Annex 2: List of Documents Reviewed
 - Annex 3: Evaluation Matrix
 - Annex 4: Output level information
 - Annex 5: Progress towards Results
 - Annex 6: Cofinancing Table
 - Annex 7: Planned Budget and Actual Expenditures at Midterm
 - Annex 8: Summary of Field Mission
 - Annex 9: Signed UNEG Code of Conduct form
 - Annex 10: Signed MTR final report clearance form
 - Annex 11: MTR Terms of Reference
 - Annexed in separate file: Audit trail from received comments on draft MTR report
 - Annexed in separate file: Relevant midterm tracking tools

Annex 9: Evaluation Consultant Code of Conduct Agreement Form

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/ or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

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

Name of Consultant: James Lenoci

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

Signature:

Signed on 17 October 2017



James Lenoci
MTR Consultant

Annex 10: MTR Terms of Reference

UNDP-GEF Midterm Review Terms of Reference for Improving Management Effectiveness of the Protected Area Network (PIMS 4943)

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the full sized project titled *Improving Management Effectiveness of the Protected Area Network (PIMS 4943)* implemented through the *South African National Parks (SANParks)*, which is to be undertaken in 2017. The project started on the 29 June 2015 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*, http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf

2. PROJECT BACKGROUND INFORMATION

The project's goal is to effectively conserve globally significant biodiversity in South Africa through cost-effective PA expansion and improved management effectiveness and financial sustainability of the PA system. The project objective is to protect the biodiversity of South Africa from existing and emerging threats through the development of a financially sustainable, effective and representative national protected area network and improved land use practices in buffers around parks with a focus on community benefits (especially job creation and stimulation of economic activity) and partnerships.

The project was designed to expand representation of globally important terrestrial habitats by establishing new Protected Areas (Pas) covering 197,000 ha. The current Protected Area estate does not effectively represent the full range of globally important species and habitats in the three biodiversity hotspots in South Africa (*Succulent Karoo, Cape Floral Kingdom and Maputaland Pondoland Albany Hotspot*); and as a result, key critical biodiversity areas within these remain under protected and are at risk of loss or degradation of habitat from several factors. Traditional PA expansion through land purchase is no longer cost effective given the shrinking budgets of conservation agencies. Hence, the project focuses on using low cost mechanisms for land acquisition and management in order to rapidly expand the PA network to secure globally important biodiversity. The project utilizes contractual and stewardship arrangements with private and communal landowners, as well as transfers and formalization of conservation tenure of state land to rapidly expand the PA network. This is done both at a site level, and also across the PA network. A major focus is ensuring appropriate, cost-effective and efficient co-management of the low cost PA expansion areas, as well as ensuring these areas are fully integrated into the state PA network.

The project also seeks to ensure that the current protected area estate is effectively managed in order not to reverse current conservation gains. Management effectiveness will be increased on 1,100,000 ha through integrated management planning, monitoring, evaluation and

improved PA buffer zone interventions. Last but not least, the project seeks to ensure financial sustainability of the PA estate through reducing costs of expansion, improving cost efficiencies within PA management agencies, including improving the resilience of existing income streams, financial governance, and strengthening benefit-sharing arrangements.

The key outcomes are as follows:

Outcome 1: National protected area estate expanded by 197,000 ha over a baseline of 7.9 million ha, resulting in increased representation of the following globally important terrestrial habitats currently under-represented in the PA system.

Outcome 2.1: Improved PA management effectiveness delivers enhanced protection to 1,100,000 ha of new and existing protected areas.

Outcome 2.2: Improved PA management effectiveness through effective integrated interventions in buffer zones covering 100,000 ha around three national parks and/or provincial reserves through implementation of buffer zone policy and interventions including improved land use controls

Outcome 3.1: PA Expansion costs per hectare reduced by 60% over a baseline of US\$ 500/ha¹ by introducing partnerships for PA management and reducing direct purchase of state and other land for protected area expansion.

Outcome 3.2: To improve the financial sustainability of the expanded PA network by optimizing and diversifying revenue streams and by improving cost efficiencies.

The project is implemented in the following locations: Richtersveld-coastal (SANParks, Succulent Karoo 18,000 ha); West Coast (Cape Nature, SANParks and City of Cape Town, Lowland Fynbos 12,000 ha); Western Cape_forest exit areas (Cape Nature, Boland and Southern Cape areas, Fynbos 19,000 ha); Sneeuberg corridor linking Mountain Zebra and Camdeboo National Parks (SANParks, Maputaland Pondoland Albany grassland hotspot 45,000 ha); Eastern Cape interior (Eastern Cape Parks and Tourism Agency (ECPTA), Maputaland Pondoland Albany grassland hotspot 30,000 ha); East Cape transfer and tenure formalization (ECPTA, Maputaland Pondoland Albany grassland hotspot 10,000 ha); Kruger to Canyons area (SANParks, Mpumalanga Tourism and Parks Agency (MTPA), Limpopo Department of Economic Development, Environment and Tourism (LEDET), Kruger to Canyons (K2C) biosphere region non-governmental organisation (NGO), Maputaland Pondoland Albany grassland hotspot, 60,000 ha).

The project has the following budget:

Total resources required **US\$ 57,909,112.56**

Total allocated resources: US\$ 9,350,000

- Regular US\$ 9,350,000
 - GEF US\$ 8,550,000
 - UNDP US\$ 800,000
- Other: US\$ 48,559,112.56
 - SANParks US\$ 17,775, 000

¹ Based upon land acquisition by SANParks & donors over last two years, inclusive of those to be completed

- o MTPA US\$ 8,250,000
- o CapeNature US\$ 7,200,000
- o ECPTA US\$ 8,500,000
- o LEDET US\$ 6,834,112.56

This project is to be implemented simultaneously at three levels of PA management and low cost expansion, namely at the national, agency and site levels. At the national level there are two key role players, i.e. the national Department of Environmental Affairs (DEA) and the SANParks. SANParks takes overall responsibility for project implementation and will thus stand accountable for both project and financial management. Project implementation will however be managed in close collaboration with the project partners at the agency level and these are CapeNature, ECPTA, MTPA, LEDET and K2C.

Additional stakeholders include National Department of Public Works, National Department of Agriculture Forestry and Fisheries, Northern Cape Nature Conservation, Western Cape Provincial Department of Public Works, Department of Human Settlements (Western Cape), University of Witwatersrand Rural Research Facility, Agricultural Research Council, University of Pretoria, Nelson Mandela Metropolitan University, District and local municipalities at all sites, Local communities and Community institutions, Richtersveld Sida !hub Community Property Association (CPA), Richtersveld Gemeenskap Bestuurs Kommittee (RGBK), Private land owners, Wilderness Foundation, Richtersveld Cultural and Botanical Association (RCBA), Cape West Coast Biosphere Reserve, Greater Limpopo Transfrontier Conservation Area (GLTFCA), Association of Water and Rural Development (AWARD), UNDP as the implementation agency (IA) and DBSA as a development facilitator through direct funding.

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 Consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The Consultant 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 Consultant is expected to follow a collaborative and participatory approach² 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.³ Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to DEA, SANParks, CapeNature, ECPTA, and K2C; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the Consultant is expected to conduct field missions as agreed with the client.

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 Consultant 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 and human rights 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.

² For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

³ 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.

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 catalysed, or could in the future, result in beneficial development effects (e.g. income generation, gender equality and women’s empowerment, improved governance, knowledge sharing and lessons learnt through South-South cooperation, etc.) that should be included in the project results framework and monitored on an annual basis.
- Ensure that broader development, gender and human rights 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 ⁴	Baseline Level ⁵	Level in 1 st PIR (self-reported)	Midterm Target ⁶	End-of-project Target	Midterm Level & Assessment ⁷	Achievement Rating ⁸	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

⁴ Populate with data from the Logframe and scorecards

⁵ Populate with data from the Project Document

⁶ If available

⁷ Colour code this column only

⁸ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

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:

- 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 Consultant will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.⁹

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 Consultant should make no more than 15 recommendations total.

Ratings

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

⁹ Alternatively, MTR conclusions may be integrated into the body of the report.

Table. MTR Ratings & Achievement Summary Table for (Improving Management Effectiveness of the Protected Area Network)

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)	

6. TIMEFRAME

The total duration of the MTR will be approximately (*30 days*) starting from the 21 August 2017, and shall not exceed three months from when the consultant is hired. The tentative MTR timeframe is as follows:

Activity	No. of working days	Timeframe (Completion Date)
Application closes		15 July 2017
Select Consultant		3 rd week of July 2017
Preparation (Inception phase, desk top review and the submission of the inception report)	3 days	3 rd week of August 2017
Finalization and Validation of MTR Inception Report- latest start of MTR mission	2 days	4 September, - Pretoria
MTR mission and debriefing	15 Days	20 September 2017

Preparing draft report	5 days	29 September 2017
Incorporating audit trail from feedback on draft report/Finalization of MTR report (note: accommodate time delay in dates for circulation and review of the draft report)	5 days	24 October 2017
Expected date of full MTR completion		15 November 2017

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

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities	Payment Schedule
1	MTR Inception Report	Consultant clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission: 24 August 2017	Consultant submits to the Commissioning Unit and project management	20%
2	Presentation	Initial Findings	End of MTR mission: 20 September 2017	Consultant presents to project management and the Commissioning Unit	20%
3	Draft Final Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission: 29 September 2017	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP	30%
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: 24 October 2017	Sent to the Commissioning Unit	30%

*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 the UNDP South Africa 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 Consultant. The Project Team will be responsible for liaising with the Consultant to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. COMPOSITION

The independent consultant 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 a consultant will be aimed at maximizing the overall "team" qualities in the following areas:

- Recent experience with result-based management evaluation methodologies; [10 points]
 - Experience applying SMART indicators and reconstructing or validating baseline scenarios; [10 points]
 - Competence in adaptive management, as applied to GEF 5 Biodiversity Focal Area - BD1: Improve Sustainability of Protected Area Systems and Management Effectiveness Tracking Tools (METT); [15 points]
 - Experience working with the GEF or GEF-evaluations; [10 points]
 - Experience working in South Africa; [5 points]
 - Work experience in relevant technical areas for at least 10 years; [5 points]
 - Demonstrated understanding of issues related to gender, human rights and GEF 5 Biodiversity Focal Area - BD1: Improve Sustainability of Protected Area Systems; experience in gender sensitive evaluation and analysis. [10 points]
 - Excellent communication skills; [5 points]
 - Demonstrable analytical skills; [10 points]
 - Project evaluation/review experiences within United Nations system will be considered an asset; [10 points]
 - A Master's degree in Biodiversity and Conservation, Development Studies, Environment Management, or other closely related field. [10 points]
- Total maximum point: 100

10. PAYMENT MODALITIES AND SPECIFICATIONS

As per the MTR Deliverables.

11. APPLICATION PROCESS¹⁰

Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)¹¹ provided by UNDP;
- b) **CV and a Personal History Form (P11 form)**¹²;
- 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 by email at the following address ONLY: procurement.za@undp.org indicating the following reference “**Consultant for Midterm Review of Improving Management Effectiveness of the Protected Area Network Project**” by 15 July 2017 at midnight South African Time. Incomplete applications will be excluded from further consideration.

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

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

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 METT Tracking Tools at CEO endorsement and midterm
10. Oversight mission reports

¹⁰ 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>

¹¹

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

¹² http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

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 *Improving Management Effectiveness of the Protected Area Network*
16. Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
17. Project site location maps

ToR ANNEX B: Guidelines on Contents for the Midterm Review Report¹³

- 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
 - Consultant members
 - Acknowledgements
- ii.** Table of Contents
- iii.** Acronyms and Abbreviations
- 1.** Executive Summary (*3-5 pages*)
 - Project Information Table
 - Project Description (brief)
 - Project Progress Summary (between 200-500 words)
 - MTR Ratings & Achievement Summary Table
 - Concise summary of conclusions
 - Recommendation Summary Table
- 2.** Introduction (*2-3 pages*)
 - Purpose of the MTR and objectives
 - Scope & Methodology: principles of design and execution of the MTR, MTR approach and data collection methods, limitations to the MTR
 - Structure of the MTR report
- 3.** Project Description and Background Context (*3-5 pages*)
 - Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
 - Problems that the project sought to address: threats and barriers targeted
 - 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.

¹³ The Report length should not exceed 40 pages in total (not including annexes).

- 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 Consultants¹⁴

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: _____

¹⁴ www.undp.org/unegcodeofconduct

ToR ANNEX E: MTR Ratings

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 G: Audit Trail Template

Note: The following is a template for the MTR Team to show how the received comments on the draft MTR report have (or have not) been incorporated into the final MTR report. This audit trail should be included as an annex in the final MTR report.

To the comments received on (*date*) from the Midterm Review of (*project name*) (UNDP Project ID-*PIMS #*)

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

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