

# UNDP-GEF Monitoring & Evaluation Requirements and Risk Management



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## CBIT: “Building Armenia’s national transparency framework under Paris Agreement”

Inception Workshop

7 May 2021



UNDP Nature, Climate and Energy Team

# Capacity Building Initiative for Transparency (CBIT)



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Established by the Paris Agreement to support developing country Parties, upon request, in meeting enhanced transparency requirements as defined in Article 13 of the Agreement in a timely manner.

## Aims of CBIT



The **Global Environment Facility (GEF)** provides financial and technical support for building the institutional and technical transparency-related capacities and for the preparation and submission of the first and subsequent Biennial Transparency Reports (BTRs).

# Capacity Building Initiative for Transparency (CBIT)

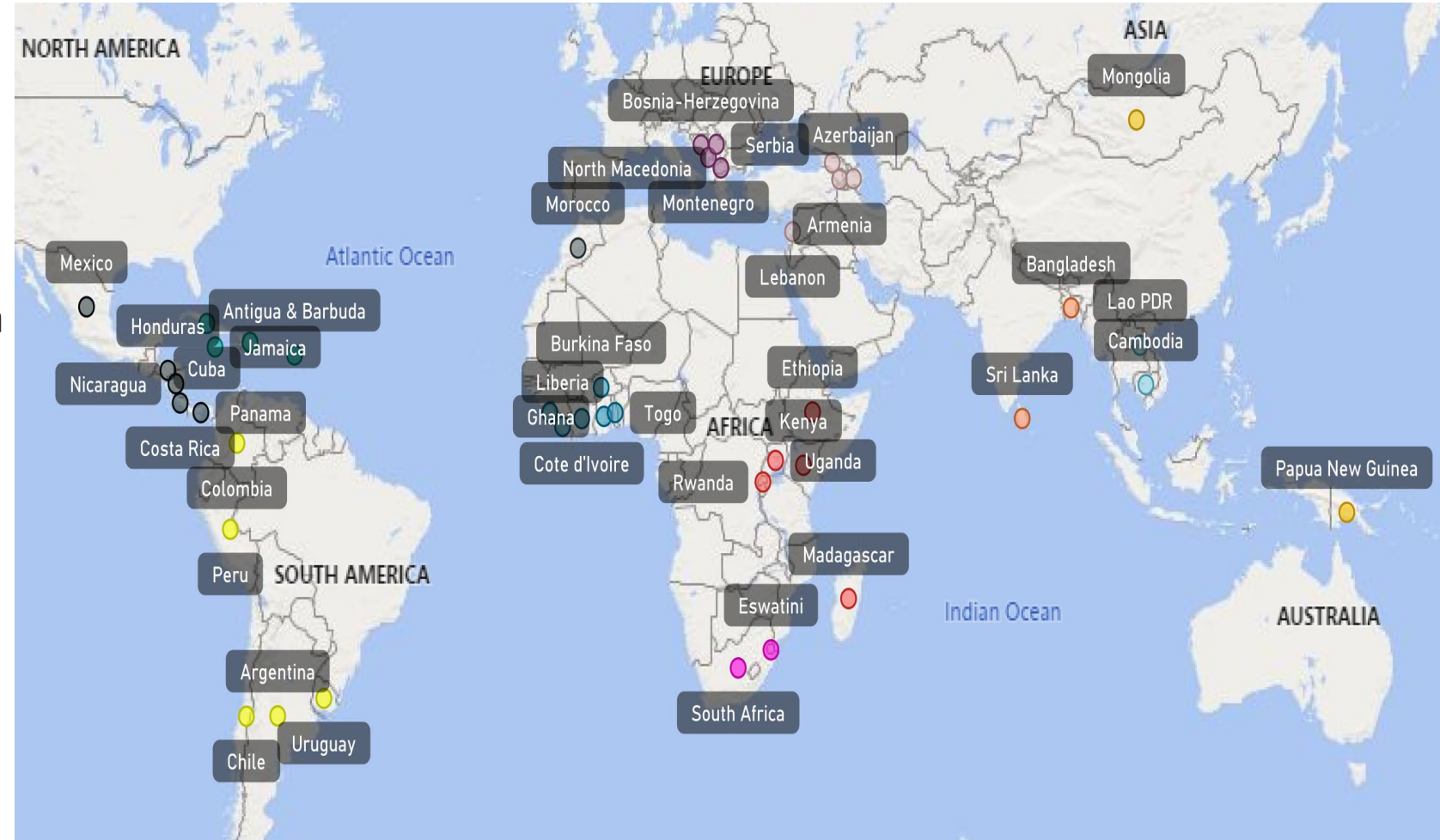


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As of October 31, 2020 the CBIT project portfolio comprises 71 projects amounting to a total of \$116.2 million.

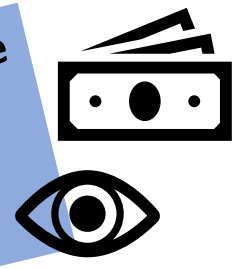
## Regionally balanced portfolio

- 24 projects in Africa
- 19 projects in LAC region
- 15 projects in Asia
- 8 projects in Europe and Central Asia
- 5 global projects

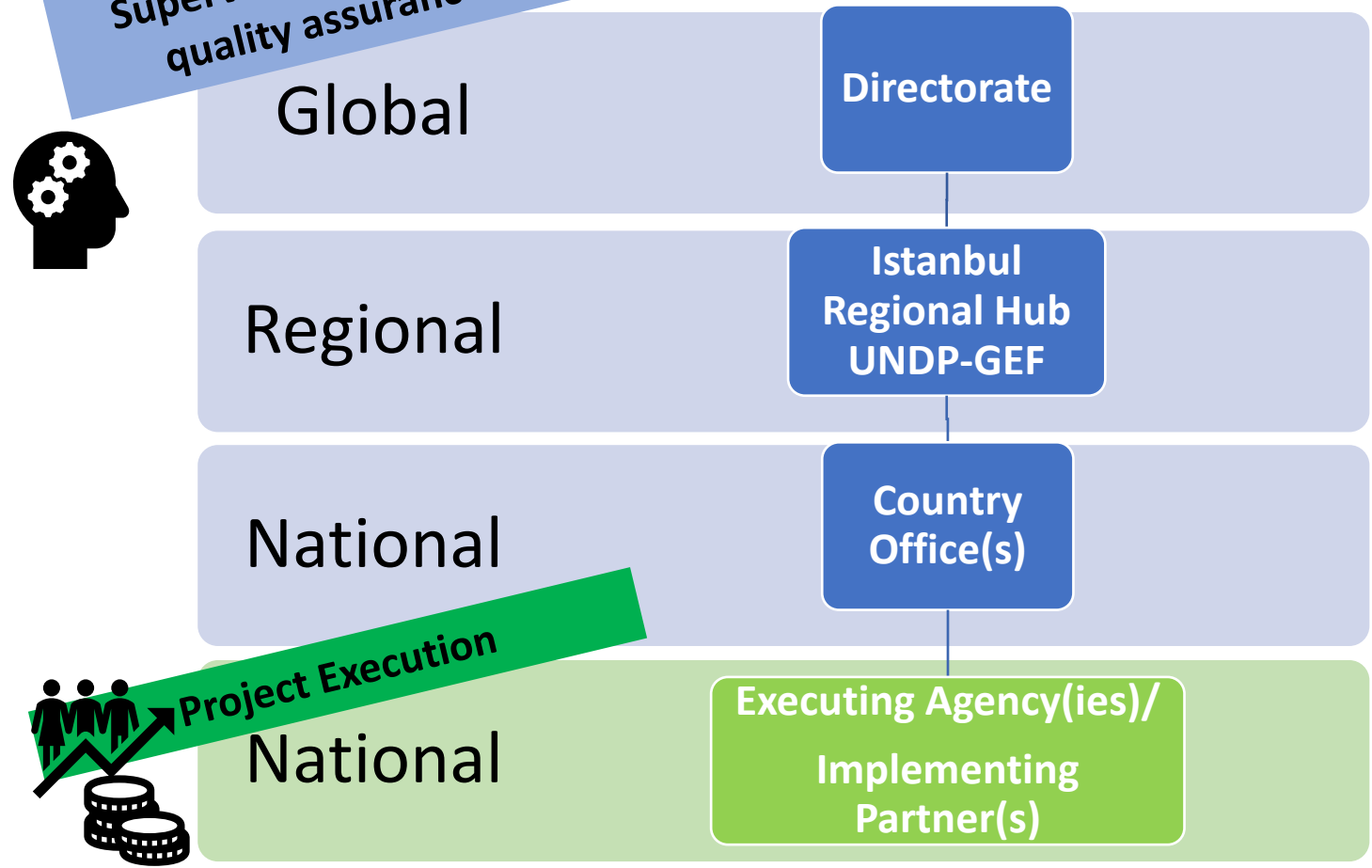


# How is UNDP supporting countries to access funds and implement Climate Data and Transparency projects?

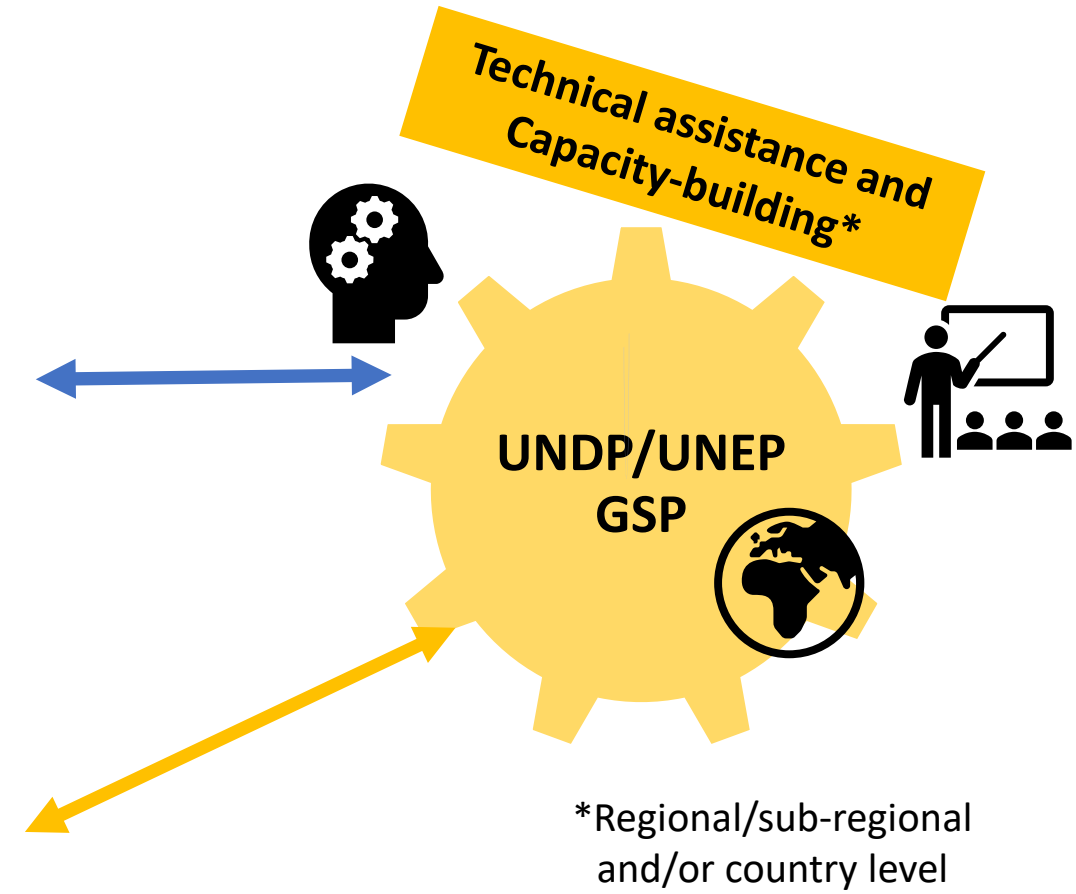
Technical support and resource mobilization, supervision, oversight and quality assurance role



- Enabling Activity projects to support the preparation of NCs, BURs and BTRs
- CBIT projects (9 under implementation and 12 pipeline)



Project Execution



# Knowledge exchange and technical support



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**CBIT Global Coordination Platform** launched in April 2017 with the aim of:

- sharing best practices
- exchange of practitioners
- tracking progress
- collaborating with existing/emerging initiatives, UNFCCC bodies, IPCC and other initiatives supporting UNFCCC process

CBIT platform: <https://www.cbitplatform.org/>

**UNDP/UNEP Global Support Program for NCs/BUR** to provide technical and capacity building support to all Non Annex-I Parties in the preparation of their NCs, BURs and (I)NDCs – operative until Q4 2021:

The goal is:

- To support countries to have high quality BURs/NCs every 2/4 years. Main areas are: GHG inventories – Mitigation – V&A
- To strengthen MRV capacities and linkage with NDCs

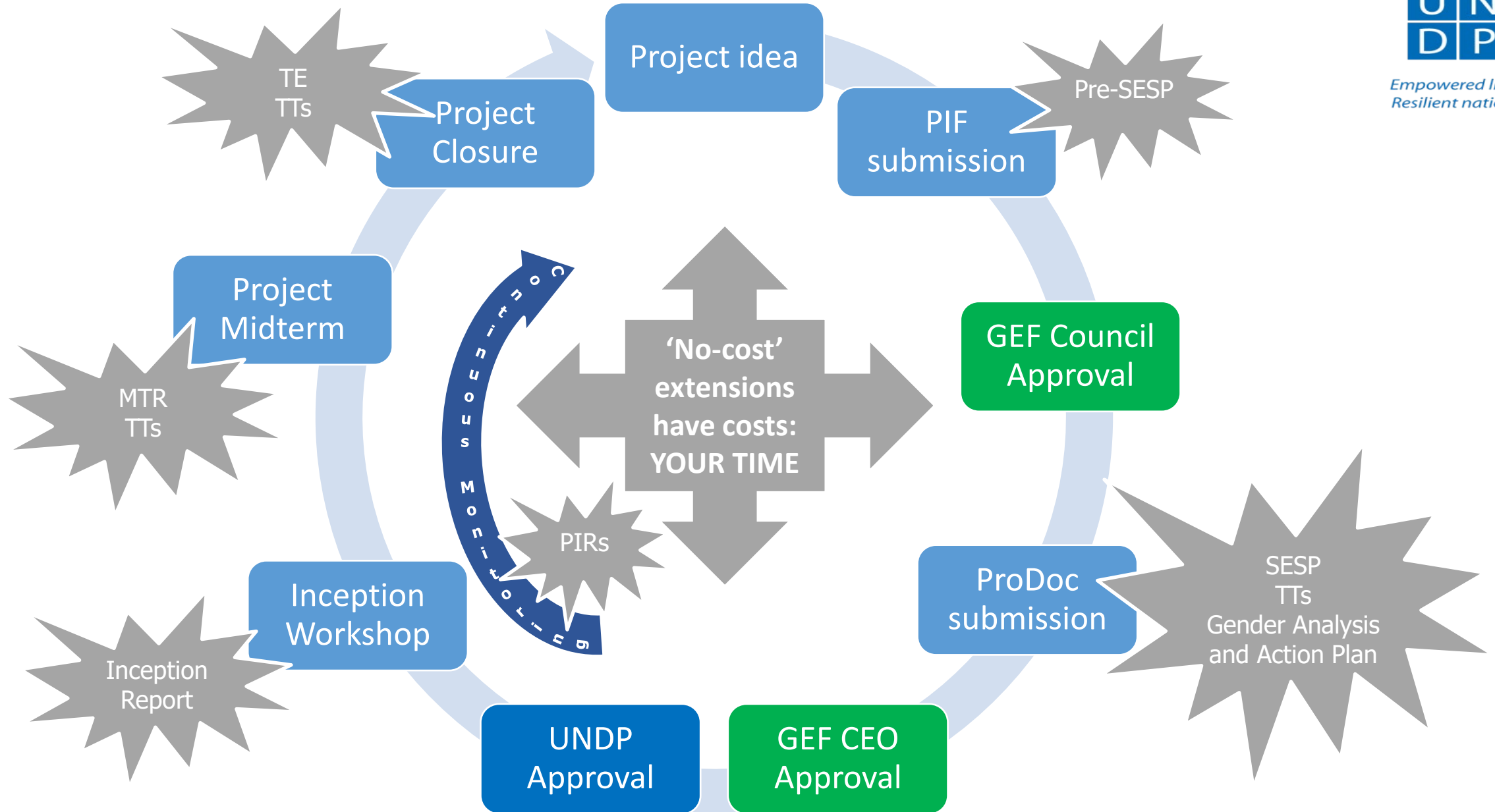
GSP website: <http://www.un-gsp.org>

GSP Coordinator: Mr. Damiano Borgogno (damiano.Borgogno@undp.org)

# UNDP-GEF Project Cycle with M&E



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# Inception Workshop

*To be held within first 2 months from project start (i.e., ProDoc signature), ideally, after the Project Team is recruited*

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## **Purpose:**

- Achieve a common understanding of the project, its objectives and anticipated results.
- Establish project team and support structure and clarify roles and responsibilities.
- Review the Project Results Framework;
- Provide an overview on reporting, monitoring and evaluation (M&E) requirements.
- Plan and schedule Project Board meetings and finalize the first-year Annual Work Plan.

**Inception Report** finalized by PM no later than one month after the IW, signed by the IP and UNDP:

- Report on changes in the project environment, activities, timeframe since the project was approved and in the inception phase.
- Revised Logical Framework.
- Work plan and Budget for Year 1.
- Terms of Reference for key positions.
- Risk Management.
- Gender Analysis and Action Plan.
- Updates on key issues/Recommendations.

# PIR: Project Implementation Report



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## What?

- Annual internal monitoring of project progress toward its development objective and in implementation
- Update on key indicators
- Qualitative update on project implementation progress and challenges, Gender Action Plan, stakeholder engagement and knowledge management

## Who?

- Mandatory input: Project Team, UNDP CO, UNDP-GEF RTA
- Optional input: GEF OFP, Implementing Partners, Others

## When?

- PIR process starts in late May / early June
- PIR process ends in October

## Why?

- To comply with GEF reporting requirements
- To communicate progress and results

## How?

- Online platform
- Unique web link for each project



# Project Terminal Evaluation



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## What?

- TE Inception Report
- Terminal Evaluation Report in English
- Management Response

## Who?

- Country-specific projects' TEs commissioned by the UNDP Country Office
- 1-2 intl. and/or natl. consultants undertake TE (TOR available)

## When?

- Within 6 months before or after operational closure

## Why?

- Mandatory for all GEF-financed MSPs & FSPs
- To assess the efficiency/ effectiveness in achieving results; relevance; sustainability; project- and portfolio-level learning

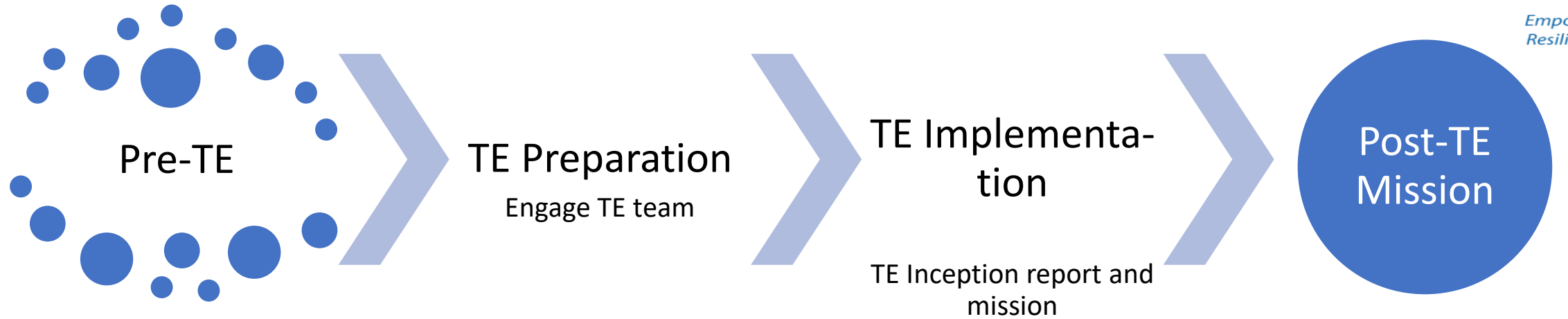
## How?

- UNDP-GEF Terminal Evaluation Guidance (2012)
- Report drafted, reviewed, finalized
- TE and mgmt response uploaded by CO to Evaluation Resource Center

# Project Terminal Evaluation – Timeline



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- TE in CO Evaluation Plan
- Prepare TE ToR
- Prepare terminal GEF Tracking Tool

TE Implementation  
TE Inception report and mission

- Report drafted, reviewed, finalized (English)
- TE and mgmt response uploaded to ERC
- UNDP IEO reviews TE report, submits it to GEF IEO

# Gender Analysis and Action Plan



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What?

- A process for mainstreaming gender considerations into project design

Who?

- UNDP gender experts; gender consultant

When?

- During PPG to inform gender strategy included in project document

Why?

- To avoid, minimize and/or mitigate adverse impacts on gender equality
- To promote gender equality and women's empowerment in line with the UNDP Gender Equality Strategy
- To comply with the GEF Policy on Gender Mainstreaming

How?

- UNDP corporate template under development

# Key milestones – “Building Armenia’s national transparency framework under Paris Agreement”



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Milestone	Timeline
ProDoc Signature Date ( <b>project start date</b> ):	16-Dec-2020
Inception Workshop	7 May 2021
1st PIR	Jul-Sep 2022
2nd PIR	Jul-Sep 2023
Terminal Evaluation	16-Sep 2023
Operational Closure	16-Dec-2023

# Project Results Framework



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## *The continuous measurement of project results*

- Asks the main question: Is the project making a difference?
- Indicates project progress toward objective
- Requires the project to track results, and to analyze and validate the data
- Serves as the basis for:
  - Measuring the project's impact
  - Tracking progress ('LogFrame')
  - Conducting regular monitoring and reporting
  - Systematically collecting and analyzing data
  - Conducting regular reviews (Midterm Review and Terminal Evaluation)

The project's  
Results Framework  
(aka *LogFrame*, or *RF*)  
is your **main tool** for  
monitoring

# Project Results Framework: Accountability for results to be achieved



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**Monitoring** of progress against each indicator in the Results Framework each year (i.e. quarterly)

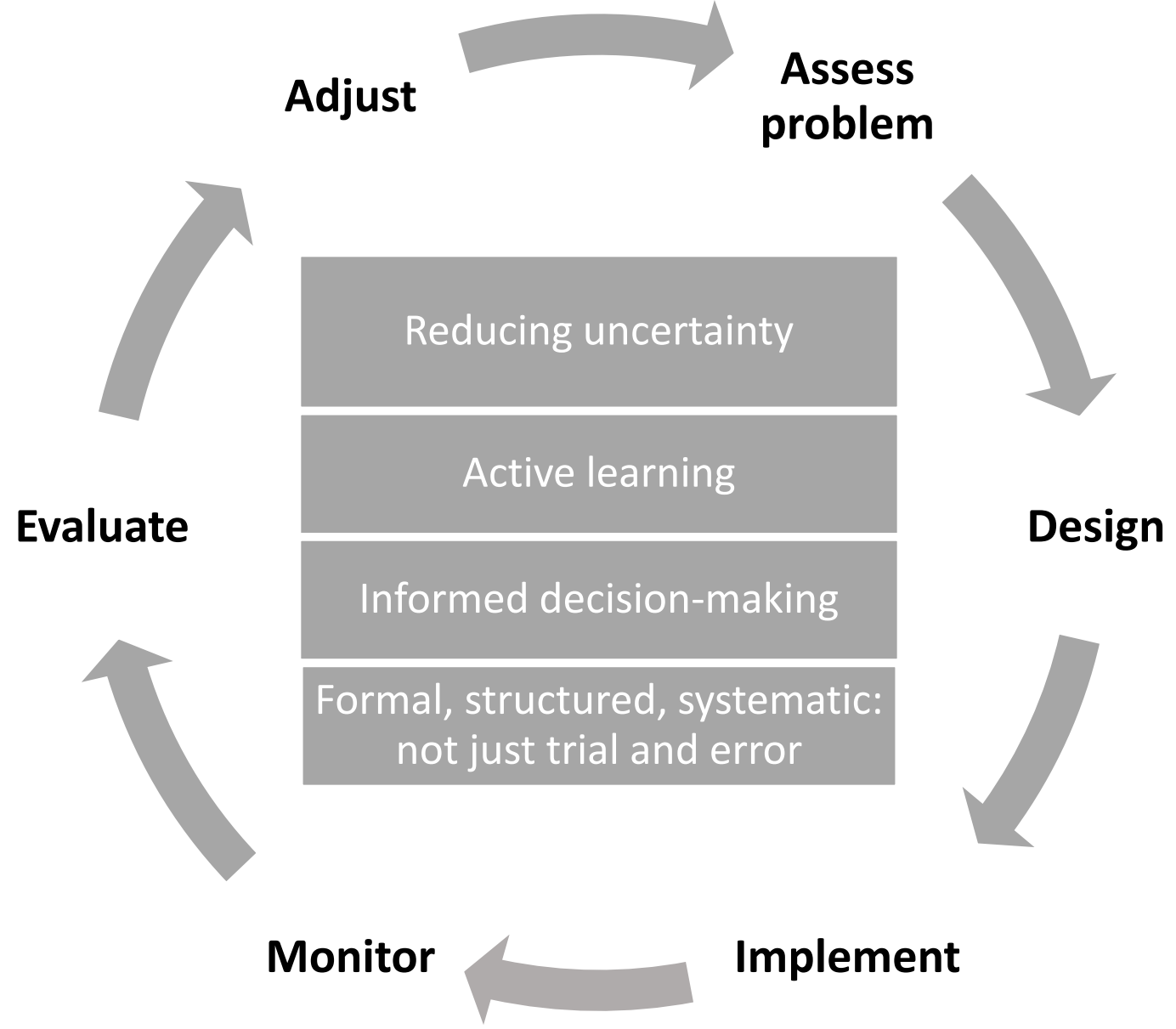
**Annual reporting** on progress against each indicator in the Results framework is done via the PIR; the Results Framework makes up the PIR section called *Progress toward Development Objective (or DO)*

**Accountability:** Progress toward results agreed to in the Results Framework is assessed by independent reviewers at mid-point of project duration (i.e. MTR; for full-sized projects) and then at project closure (i.e. TE)

# Adaptive Management



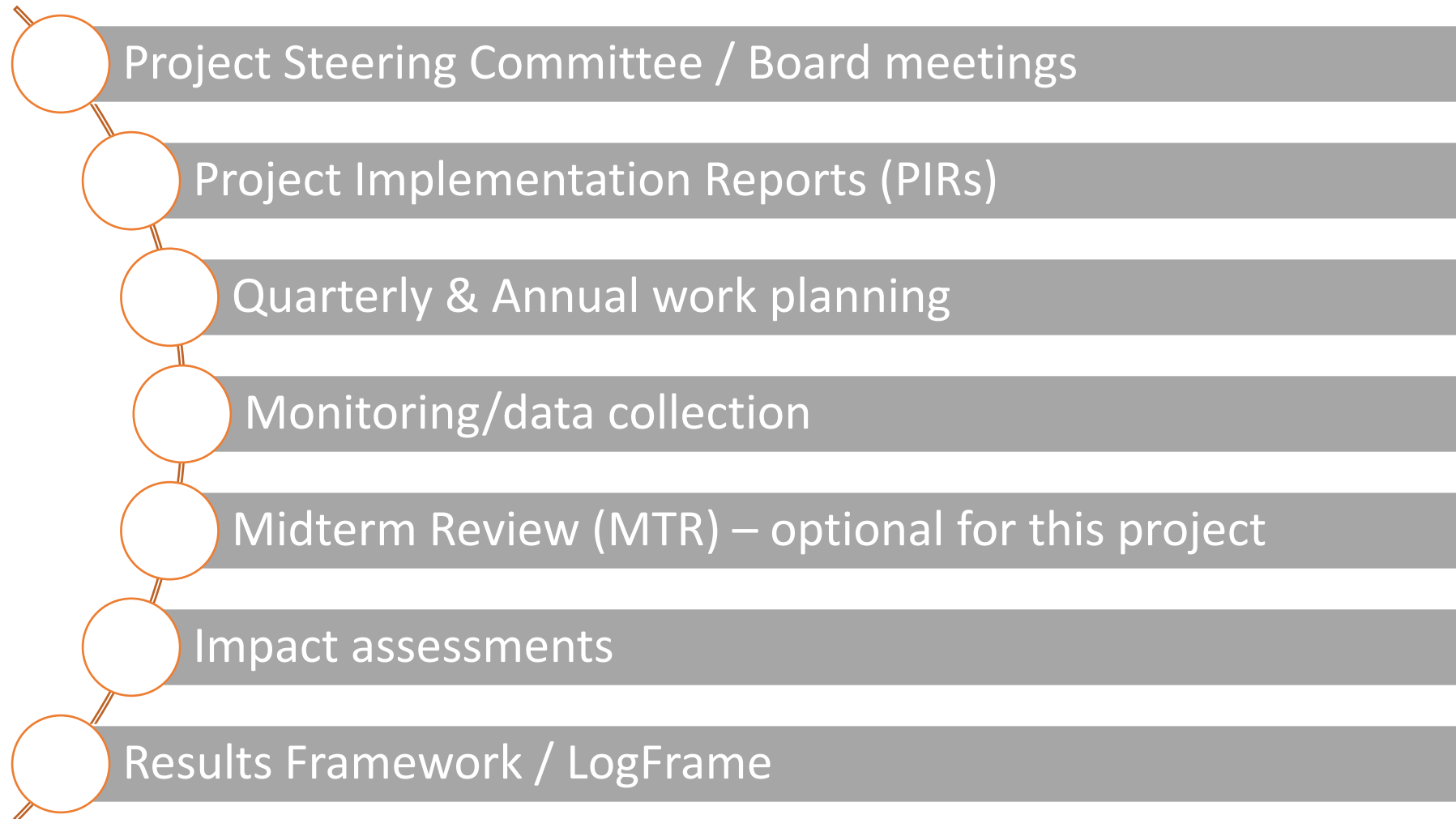
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# Adaptive Management Tools and Approaches



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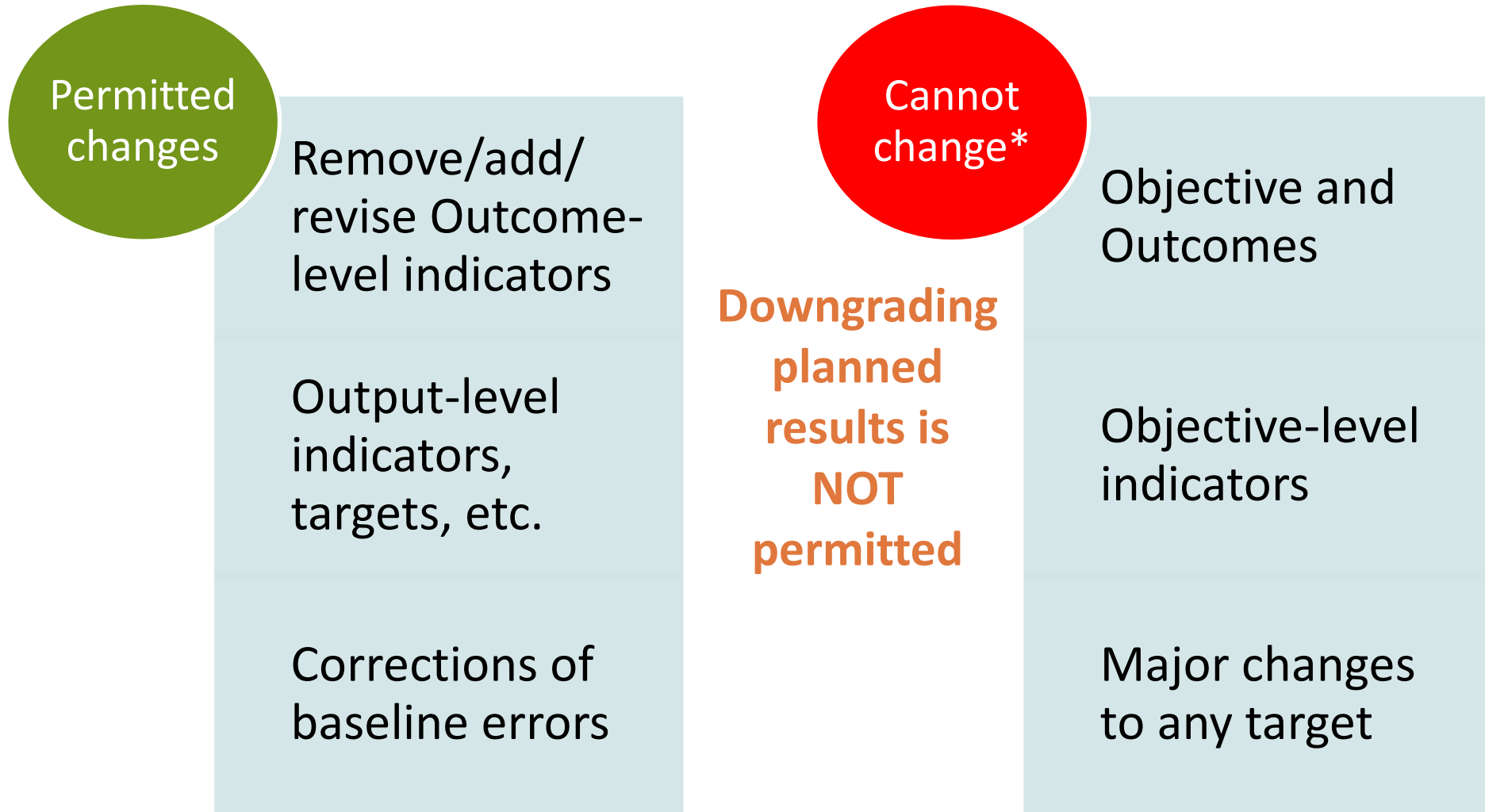




# Adaptive Management

## Adjusting the Results Framework / LogFrame

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Permitted changes

Remove/add/revise Outcome-level indicators

Output-level indicators, targets, etc.

Corrections of baseline errors

Cannot change\*

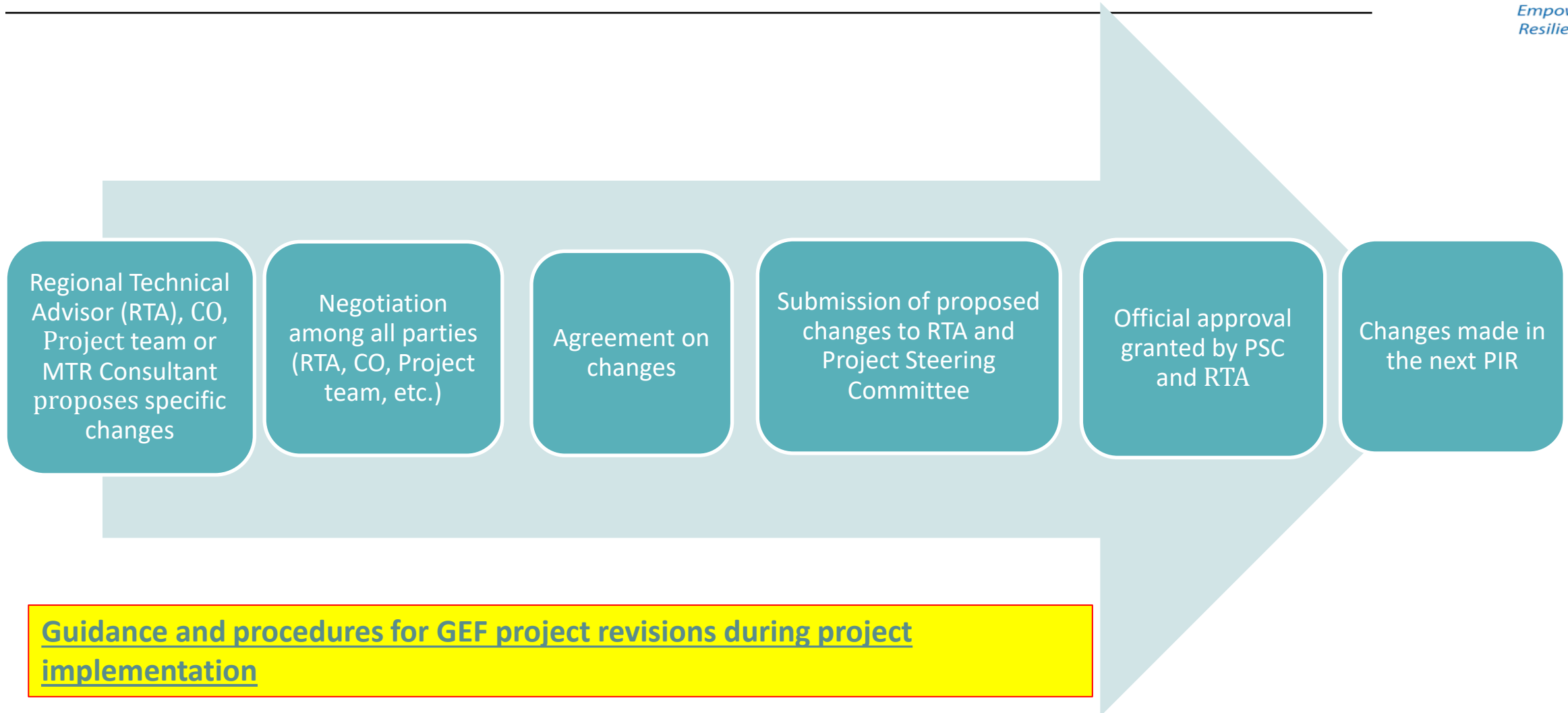
Objective and Outcomes

Objective-level indicators

Major changes to any target

Downgrading planned results is NOT permitted

# Adaptive Management: Adjusting the Results Framework / LogFrame



# Risk Management

## Why manage risk in a UNDP-GEF project?



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GEF-funded projects are complex and therefore likely to face risks and challenges

Strengthen project and portfolio management (efficiency and effectiveness)



# Risk Management - Seven Risk Categories



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# Risk Management - Determining Risk 'Significance'



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**Impact**  
 1 = Negligible  
 2 = Minor  
 3 = Moderate  
 4 = Severe  
 5 = Critical

**Probability**  
 1 = Slight  
 2 = Not Likely  
 3 = Moderately Likely  
 4 = Highly Likely  
 5 = Expected

**Significance**  
 Green = Low  
 Yellow = Moderate  
 Red = High

<b>Impact</b>	5	Red	Red	Red	Red	Red
	4	Yellow	Yellow	Red	Red	Red
	3	Green	Yellow	Yellow	Yellow	Yellow
	2	Green	Green	Yellow	Yellow	Yellow
	1	Green	Green	Green	Green	Green
	--	1	2	3	4	5
<b>Probability</b>						

# Project Board Meetings



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**The Project Board** (also called Project Steering Committee) is the project's decision-making body, which is responsible for:

- Providing strategic guidance and oversight to project implementation to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Reviewing project progress, assessing performance, and appraising Annual Work Plans;
- Overseeing monitoring, evaluation and reporting in line with GEF requirements;
- Providing guidance on new project risks, and agreeing on possible mitigation and management actions to address specific risks;
- Advising on major and minor amendments to the project within the parameters set by UNDP-GEF;
- Taking corrective action as needed to ensure the project achieves the desired results.

## **Frequency of meetings:**

- According to necessity, but in general **twice a year**, to review project progress and approve Annual Work Plans for the following year.
- In the final year of the project, an end-of-project review meeting will be held to discuss lesson learned, and opportunities for scaling up.

# Project Extension

*Can be granted up to 12 months on an exceptional basis (only no-cost)*



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## What?

- Project extension request from **Implementing Partner**, including the **strong justifications**.
- UNDP **Resident Representative** approval.
- **Workplan** for the remaining project funds for the extension period.
- **Multi-Year budget** approved by RTA and MPSA.

## When?

- **6 months** prior to the expected planned operational closing date.
- Only one extension will be granted per project.

## How?

- **Project Board** Agreement.
- The **Implementing Partner** requests **UNDP** to extend the project
- UNDP CO collects the above-mentioned documents and send to **PA/RTA** for clearance.
- **UNDP BPPS/NCE Director** approves the extension.

# THANK YOU!

ANY QUESTIONS?

## UNDP-GEF:

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<http://www.un-gsp.org/>

<https://www.cbitplatform.org/>



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