

Namibia's Third Biennial Update Report (BUR3 NAM) to the United Nations Framework Convention on Climate Change (UNFCCC). Inception Workshop, 19 July 2018, Namibia, NIPAM –Windhoek

#### MONITORING AND EVALUATION OF THE UNDP-GEF CO-FINANCED /SUPPORTED PROJECTS

## The M&E Talk will be about

- What is Allowed -Tolerance level
- 2. What is not Allowed Exceeding Tolerance Level
- 3. Adaptive Management -WHY
- 4. Adaptive Management What
- 5. The Mechanics –HOW

#### \* The Context is of NC or BUR

#### A. GEF Procedures

- B. Adaptive Management (Principles; Rules & Procedures; UNDP role; Project Oversight bodies; & Mgt Structures)
- C. Monitoring Process (Logical Framework; Annual Work Plan; Field Visits (?); Evaluation;
- D. Reporting Progress (inception report; Quarterly Operational Reports; Annual PIRs; Mid-Term /End-Term
- Risk Management (types, categorisation; management & mitigation)
- **F.** Review of Technical aspects (Project Manager)
- Financial Management (procedures, rules concerning budget changes; rules concerning tendering & awarding of contracts; competitive bidding; individuals or companies who may be excluded on the basis of conflict of interests; audit requirements and procedures, etc.)



BIG PICTURE UNDP \*Empowered Lives \*Resilient Nations

"UNDP defines capacity development as the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time."

> Capacity development is not a once-off intervention but an iterative process of design-application-learning-adjustment

#### EAs: National Reports for Non-Annex I countries



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## Frequency:

NC every four (4) years; *decision 17/CP.8*BUR every two (2) years either as a summary of parts of the national communication in the year when the national communication is submitted or as a stand-alone update report; *decision 2/CP.17 Annex III*

#### Support:

Financial: Global Environment Facility (GEF)
Technical: Consultative Group of Experts (CGE)



#### Transparency framework vis-à-vis existing MRV Arrangements: Reporting BUR3 CBIT NC4 National **Biennial Update** Transparency

Communications Framework Reports National greenhouse gas inventory (NIR) National greenhouse gas National greenhouse gas inventory (NIR) Programmes containing measures to inventory (NIR) facilitate adaptation to climate change Progress made in implementing Programmes containing measures to mitigate climate change and achieving national determined contributions under Transfer of technology Article 4 Mitigation actions and their Research and systematic observation effects Climate change impacts and Education, training and public adaptation under Article 7 (as awareness appropriate) Capacity-building Information and networking Financial, technology transfer Finance, technology and and capacity-building support capacity-building needs Constraints and gaps, and related needed and received under financial, technical and capacity-Articles 9, 10, 11 building needs **Communication of Durban Outcomes** Article 13 of the Paris

information under Articles 4.1 and 12.1

(2/CP.17) and Cancun Agreements (1/CP.16)

Agreement





## SUSTAINABLE DEVELOPMENT GELALS



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FORMING POLICIES. PLANS. STRATEGIES AND PROGRAMS



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# The benefits of participating in MRV

- 1. Informing policies
- 2. Political buy-in

- 3. Access to support
- 4. Capacity building
- 5. Increased awareness

#### **UNDP-GEF Project Cycle with M&E for Expedited EAs (BUR3)**



		Inception Workshop
UN DP Empowered lives.	When?	Within first 2 months from project start (i.e. ProDoc signature) Ideally, after the Project Team is recruited
Resilient nations.	Who?	UNDP Country Office, Project Team Government representatives, GEF OFP, UNDP-GEF, Other project partners: CSOs, NGOs, etc.
	What?	An <i>Inception Report</i> , duly signed by the Implementing Partner and UNDP
	Why?	To clarify roles and responsibilities in the project; Review Results Framework; Rebuild commitment / momentum; Establish project team and support structures; Establish procedures for oversight / changes in project activities; Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit;

#### **Inception Report**

- 1. Project background
- 2. Report on changes in the project environment since the project was submitted and approved
- 3. Any changes made in the project activities, timeframe in the inception stage
- 4. Updates on key issues/Recommendations
- 5. Work plan for Year 1/UNDP "Atlas" Budget
- Terms of Reference for key positions
  - Revised Logical Framework
    - **ATLAS Risk Management**

#### Inception Report to be:

- finalized (by PM) no later than one month after the inception workshop
- cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board/NCCC
- signed by IP and UNDP



## Annual Status Survey (NC/BURs)





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What?	Reporting requirement to the GEF and UNFCCC								
Who?	Mandatory input: Project Team								
When?	Annually during August - September								
Why?	<ul> <li>To comply with GEF reporting requirements</li> <li>To communicate progress, challenges and support needed</li> <li>Very NB feedback and oversight mechanism for UNDP/GEF</li> </ul>								
How?	Online platform or MS Word document								

## End of Project Report



What?	Reporting requirement to the GEF and UNFCCC	Empow Resilien
Who?	<ul> <li>Mandatory input: Project Manager</li> </ul>	
When?	<ul> <li>Last 3 months of project duration</li> </ul>	
Why?	<ul> <li>To communicate and collect lessons learned, gaps that remain and recommendations for consecutive work and upscaling</li> <li>Very NB feedback and oversight mechanism for UNDP/GEF</li> </ul>	
How?	<ul> <li>End of Project template provide by RTA, GSP for NC and BUR</li> </ul>	

### **Project Results Framework**

The continuous measurement of project results

- Asks the main question; is the proj making a difference?
- Indicates project progr
- Requires the p to analyze and
- Serves as

Tracking

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#### Adaptive Management: Adjusting the Results Framework / LogFrame



#### Adaptive Management: Adjusting the Results Framework / LogFrame



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**Submission** RTA, CO, of proposed **Project Team Negotiation** Official changes to Changes or MTR among all approval Agreement **RTA** and made in the consultant parties (RTA, granted by on changes Project next CO, Project **PSC/NCCC\*** proposes **APR/PIR Steering** specific Team, etc.) and RTA\* Committee changes /NCCC

#### The 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 APR/PIR (Status Reports); 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)

#### Risk Management Seven Risk Categories



	<ul><li>Natural disasters</li><li>Seasonal extremes</li></ul>
FINANCIAL	<ul> <li>External: interest rates, exchange rate fluctuations, etc.</li> <li>Internal: co-funding difficulties; financial mechanisms</li> </ul>
OPERATIONAL	<ul> <li>Complex design</li> <li>Negligence/incompetence</li> <li>Poor M&amp;E slow delivery</li> </ul>
	<ul> <li>Institutional / implementation arrangements</li> <li>Institutional / Execution capacity</li> </ul>
	<ul> <li>Government commitment; political will</li> <li>Political instability; change in government</li> </ul>
	<ul> <li>New unexpected regulations, policies</li> <li>Critical policy/legislation fail to pass</li> </ul>
	<ul> <li>Partnerships failing to deliver</li> <li>Mismatch between project scope/ambition and capacity</li> </ul>

#### Risk Management Determining Risk 'Significance'

Impact

1 = Negligible2 = 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







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#### Adaptive Management – Budget revision

#### Budget revision and Work Plan for UNDP-GEF Projects



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- Original Budget in the ProDoc (TBWP)
- Ensure that AnyChanges or Variations from the Original Budget in ProDoc are Reasonable, Justified and Revised budget(s) remains Realistic\* and Approved\*\*

\*Inflated and unrealistic ASLs/budgets would result in a low delivery rate; delivery rates are used as performance indicators by UNDP as well as by external auditors.

Target = 80% and above delivery by Year End

## Budget revision for UNDP-GEF projects



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- Ensure that Total Amount Budgeted is within **Project Balance**.
- Project teams conduct budget revisions (offline)
- COs enter budgets, aligned with available funding for the duration of the project.

"2018 Project Budget Balance" = "IA approved Amount (total GEF budget approved Amt)" minus "12/2017 cumulative expenditure (as reported in IPSAS CDR reports)"

Since 2017 Multi-year AWP/ASL allocation is allocated based on Multi-year budgeting (MYB in acc. With the TBWP)

#### **Budget revisions – GEF specific requirements**

The use of following Budget lines is not allowed in UNDP-GEF projects:

"75100 (Facilities & Administration), 72700 (Hospitality), 73500 (Reimbursement Costs), BLs starting with 6xxxx, 73100 (Rental & Maintenance of premises) "

- Project Management cost cannot exceed the amount approved in the ProDoc.
- Budget re-allocations among components in the project cannot exceed 10% of the total GEF project grant.
- The introduction of new budget items/or components cannot exceed 5% of original GEF allocation.

Costs under Miscellaneous (74500) and Supplies (72500) cannot exceed 3% of the total budget.

Any **Direct Project Cost** must be charged to PMC and cannot exceed the amount approved in the **Project Document/CEO Endorsement**.. LoA/Annex



#### Budget revisions – End 2 End process

Each budget revisions must be communicated to RCU and cleared by RTA

- 1. PM/CO submits Budget Revision in Excel Template to RTA/PA
- 2. RTA/PA reviews the proposed budget revision ensuring it conforms the UNDP-GEF financial regulations and guidance
- 3. RTA/PA approves the revision or send comments to be addressed by CO/PM
- 4. Upon RTA/PA approval, CO upload revised budget to Atlas, send it to KK (Commitment Control)
- Once KK-ed, CO inform RCU and send new AWP generated through Atlas

RTA/PA submits request for ASL (Authorized Spending Limit) to HQ Finance Unit and inform CO once adjusted



## Budget revision template



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### **Project Extensions**



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- On an exceptional basis, only one no-cost extension per project
- For GEF-5 and GEF-6 projects, extensions may be granted up to 12 to 18 months
- The PMC cannot exceed the originally approved share of the overall project budget
- The extension request should be **made at least 4-6 months before the current end date** of the project and sent to the relevant RTA (covering the project) and copying the PA with all supporting documentation to check for completeness:
  - a detailed justification for the extension noting the circumstances involved and demonstrating how the extension will lead to the successful completion of the project and greater impact.
    - a detailed overview of the remaining project funds (both GEF grant and co-financing).
    - a delivery plan for the remaining project funds for the extension period.
    - Specify the length of the extension in months.

#### 3 step approval process UNDP-GEF RTA-PTA-Executive Coordinator

# UNDP/UNEP Global Support Program for NCs/BUR



Two kinds of support:

- National focus (e.g. GHG inventory review and training)
- (sub)regional focus e.g. West Africa and Latin American networks
   All developing countries can request technical backstopping –bottom up approach

Goal is:

- to support countries to have high quality BURs/NCs every 2/4 years. Main areas are: GHG inventories – Mitigation – V&A
   \*\*Capacity Development
- 2. to strenghten MRV capacities and linkage with NDCs (\*\*M&E-NDP5)

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

#### GSP website: http://www.un-gsp.org

- Events past/upcoming
- Guidelines:
  - Gender toolkit,
  - Guidance for setting up and enhancing national technical teams for GHG inventories in developing countries
  - BUR Template,
  - Guide for Peer Review of National GHG Inventories
  - Etc.
- Best practices:
  - Macedonia's Best Practice on QA/ QC and Verification in the National GHG Inventory for the SBUR
  - 9 Success factors for and efficient and transparent MRV system, within the framework of the Paris Agreement(2015 Climate Conference)
  - Etc.

