



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

1. 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
- E. Risk Management (types, categorisation; management & mitigation)
- F. Review of Technical aspects ( Project Manager)
- G. 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)



SUSTAINABLE  
DEVELOPMENT  
GOALS

# Transparency framework vis-à-vis existing MRV Arrangements: Reporting

**NC4**

## National Communications

- National greenhouse gas inventory (NIR)
- Programmes containing measures to facilitate adaptation to climate change
- Programmes containing measures to mitigate climate change
- Transfer of technology
- Research and systematic observation
- Education, training and public awareness
- Capacity-building
- Information and networking
- Constraints and gaps, and related financial, technical and capacity-building needs

**Communication of information under Articles 4.1 and 12.1**

**BUR3**

## Biennial Update Reports

- National greenhouse gas inventory (NIR)
- Mitigation actions and their effects
- Finance, technology and capacity-building needs

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

**CBIT**

## Transparency Framework

- National greenhouse gas inventory (NIR)
- Progress made in implementing and achieving national determined contributions under Article 4
- Climate change impacts and adaptation under Article 7 (as appropriate)
- Financial, technology transfer and capacity-building support needed and received under Articles 9, 10, 11

**Article 13 of the Paris Agreement**



# SUSTAINABLE DEVELOPMENT GOALS

## THE BENEFITS OF PARTICIPATING IN MRV



INFORMING POLICIES,  
PLANS, STRATEGIES  
AND PROGRAMS



POLITICAL  
BUY-IN



IMPROVED ACCESS  
TO SUPPORT



CAPACITY  
BUILDING



INCREASED  
AWARENESS

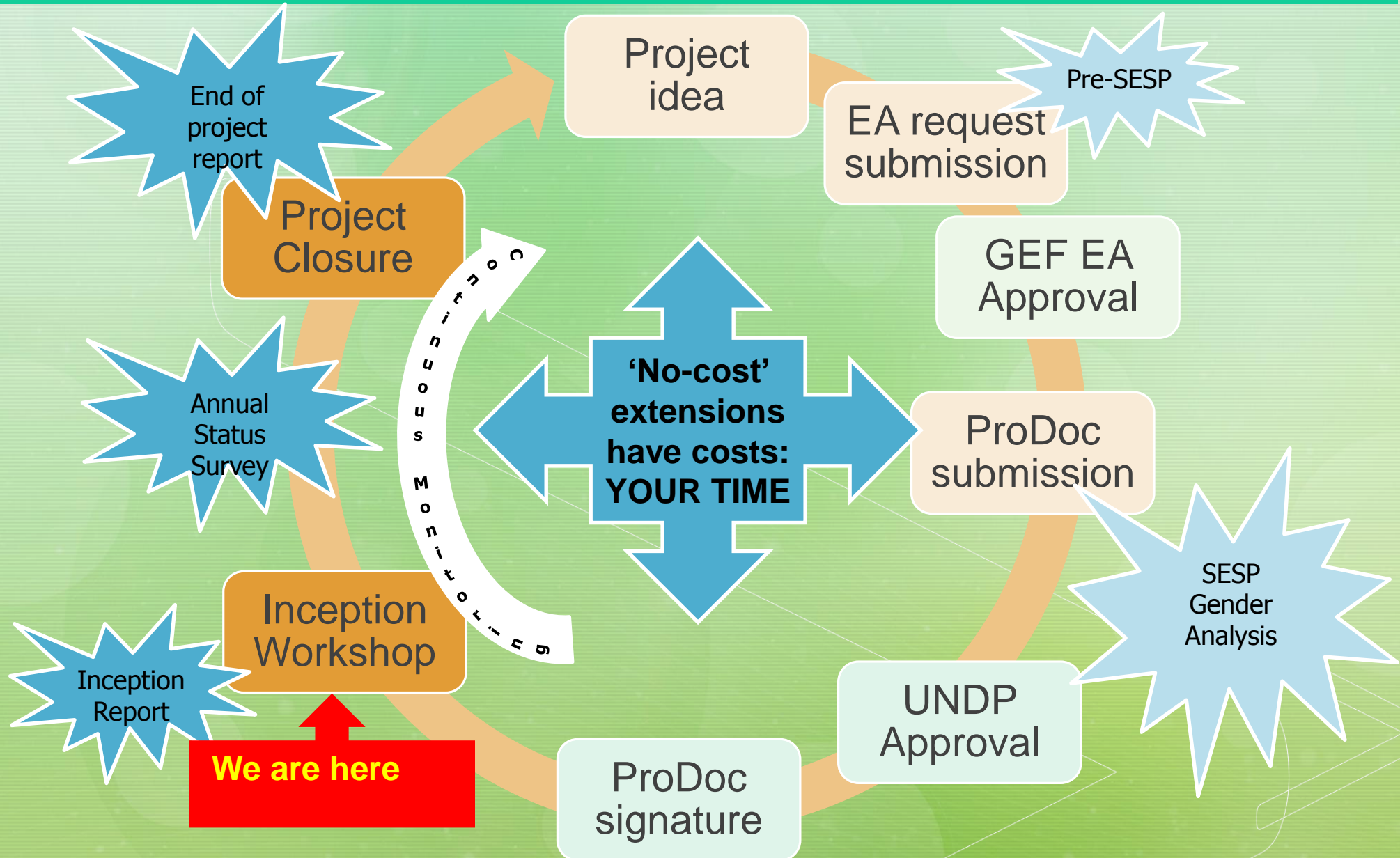


## ▶ The benefits of participating in MRV

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



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When?

**Within first 2 months** from project start (i.e. ProDoc signature)  
Ideally, after the Project Team is recruited

Who?

UNDP Country Office, Project Team  
Government representatives, GEF OFF, UNDP-GEF, Other project partners: CSOs, NGOs, etc.

What?

An ***Inception Report***, 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;  
Plan and schedule Project Board meetings and finalize the first year annual work plan



# Inception Report



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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
6. Terms of Reference for key positions
7. Revised Logical Framework
8. 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)

\*PIRs  
\*TTs  
\*RRFs



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## What?

- Reporting requirement to the GEF and UNFCCC

## Who?

- Mandatory input: Project Team

## When?

- Annually during August - September

## Why?

- To comply with GEF reporting requirements
- To communicate progress, challenges and support needed
- Very NB feedback and oversight mechanism for UNDP/GEF

## How?

- Online platform or MS Word document

# End of Project Report



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What?

- Reporting requirement to the GEF and UNFCCC

Who?

- Mandatory input: Project Manager

When?

- Last 3 months of project duration

Why?

- To communicate and collect lessons learned, gaps that remain and recommendations for consecutive work and upscaling
- Very NB feedback and oversight mechanism for UNDP/GEF

How?

- End of Project template provide by RTA, **GSP** for NC and BUR

# 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** against the **Objective**
- Requires the project to **analyze and** **report project results**, and
- Serves as
  - **M**onitoring and Evaluation (M&E) **Framework** (aka *LogFrame*, or *RF*) is BUR 3 **main tool** for monitoring
  - **Tracking Framework**
  - **Conducting**
  - **Systematic**
  - **Conducting regular project site visits**
  - **Conducting regular project site visits** and **reporting to the Project Board**
  - **Facilitating, analyzing and following up on external M&E (Midterm Review and Terminal Evaluation)**



# 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\*

Downgrading  
planned results is  
NOT permitted

Objective and  
Outcomes

Objective-level  
indicators

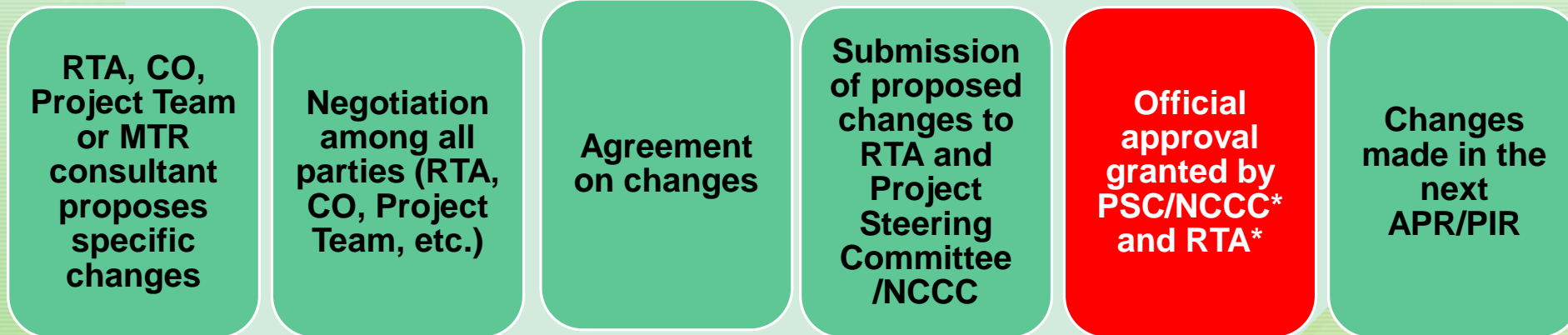
Major changes  
to any target



# Adaptive Management: Adjusting the Results Framework / LogFrame



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# 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



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# Risk Management

## Determining Risk 'Significance'



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<b>Impact</b> 1 = Negligible 2 = Minor 3 = Moderate 4 = Severe 5 = Critical  <b>Probability</b> 1 = Slight 2 = Not Likely 3 = Moderately Likely 4 = Highly Likely 5 = Expected  <b>Significance</b> Green = Low Yellow = Moderate Red = High	<b>Impact</b>	5					
		4					
		3					
		2					
		1					
		--	1	2	3	4	5
		<b>Probability</b>					



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**SUSTAINABLE  
DEVELOPMENT  
GOALS**

## 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



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- 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)
5. Once KK-ed, CO inform RCU and send new AWP generated through Atlas
6. RTA/PA submits request for ASL (Authorized Spending Limit) to HQ Finance Unit and inform CO once adjusted



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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



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Provision of technical and capacity building support to all Non Annex-I Parties in the preparation of their NCs, BURs and (I)NDCs – operative until end of 2020

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:

1. 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 strengthen MRV capacities and linkage with NDCs (**\*\*M&E-NDP5**)

GSP Coordinator: Mr. Damiano Borgogno ([damiano.Borgogno@undp.org](mailto: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 an efficient and transparent MRV system, within the framework of the Paris Agreement(2015 Climate Conference)
  - Etc.



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