Monitoring and Reporting in UNDP/GEF projects

Pacific Adaptation to Climate Change Project – Annual Meeting

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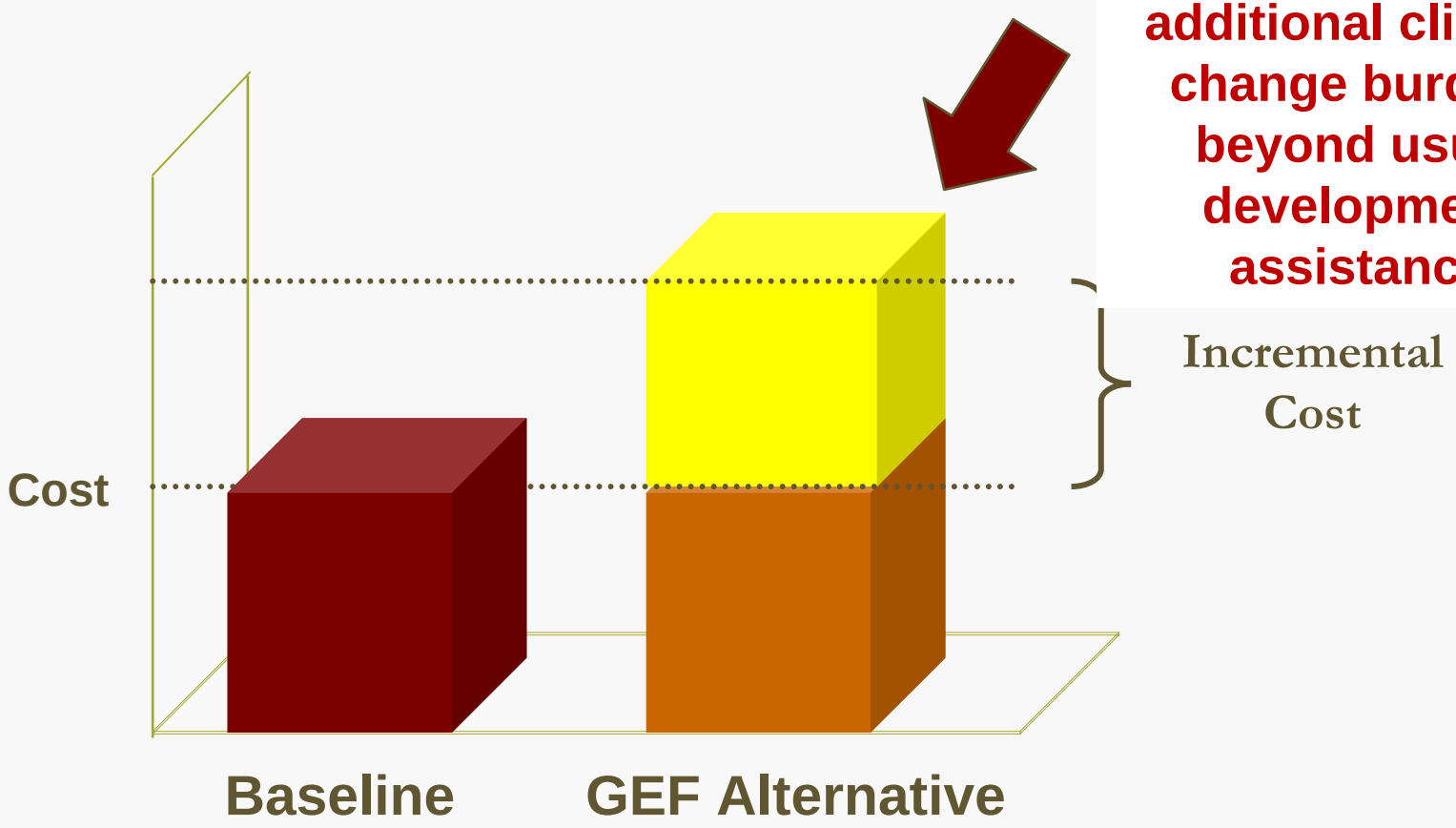
What is GEF?

- Mechanism for financing “incremental costs” of new “global environment” actions by developing countries
- Trust Fund + GEF-administered funds (LDC-F, SCCF)
- Financial mechanism for 4 international conventions:
  - Convention on Biological Diversity
  - U.N. Framework Convention on Climate Change
  - U.N. Convention to Combat Desertification
  - Stockholm Convention on POPs
- Aiming at Global Environmental Benefits (GEBs)

Investing in our Planet

Incremental Costs

Addressing additional climate change burden, beyond usual development assistance



GEF - Adaptation Funding Windows

Adaptation is about local benefits, no need to justify GEBs

GEF Assistance to Address Adaptation

Secretariat services for the AF provided by GEF on an interim basis.

GEF Trust Fund

GEF Trust Fund Strategic Priority on Adaptation (SPA) adaptation action with GEBs

Total: $50M

UNFCCC climate change funds

Least Developed Country Fund (LDCF) (implementation of NAPAs)
NO GLOBAL BENEFITS

Total: $200M

Special Climate Change Fund (SCCF) Top priority to Adaptation
NO GLOBAL BENEFITS

Total: $105M

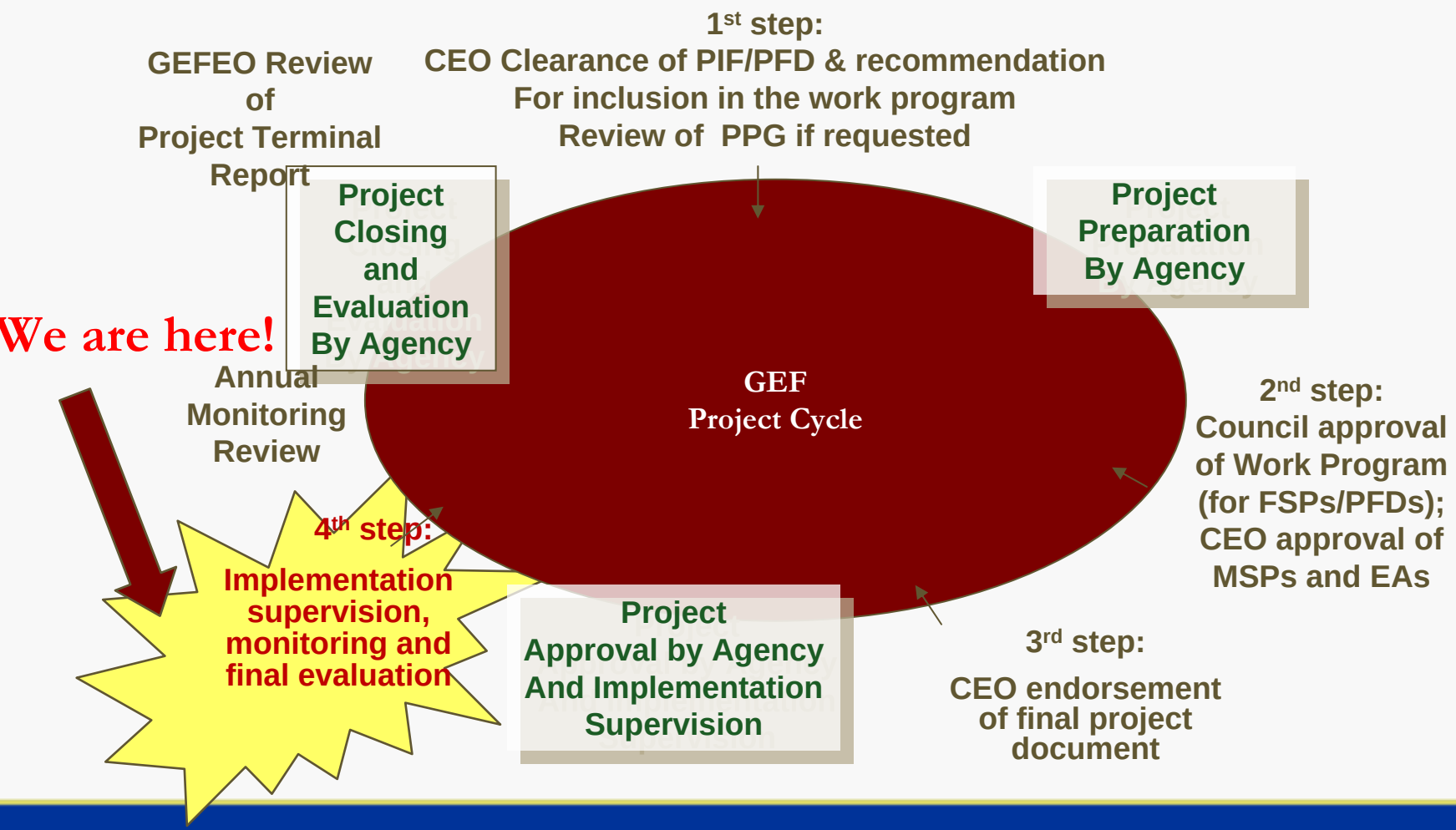
The Adaptation Fund

Adaptation Fund (AF) Adaptation in developing country parties to KP
NO GLOBAL BENEFITS

Estimate $260-480M by 2012

Also: Community-based adaptation: GEF Small Grants Projects

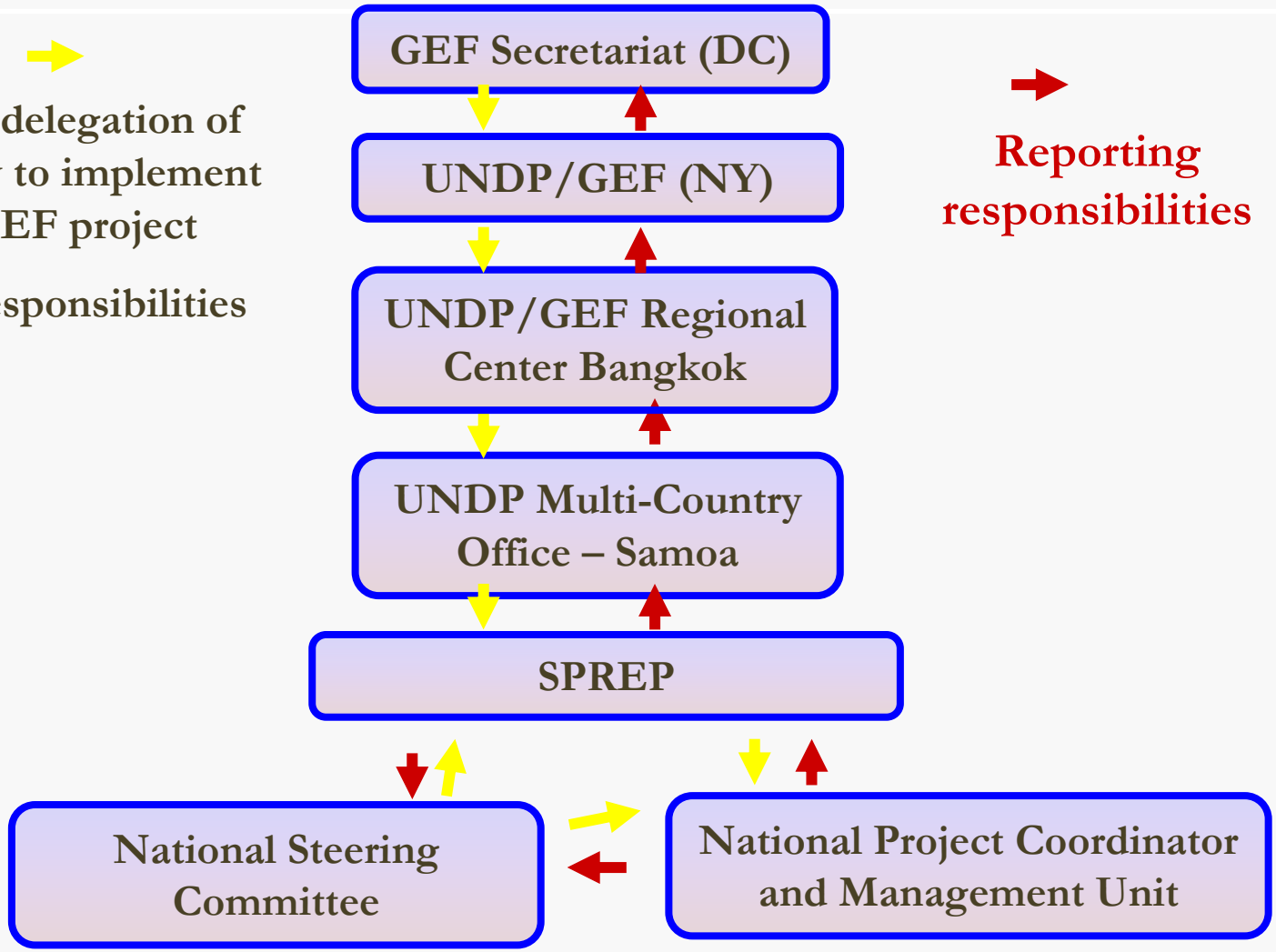
GEF Project Cycle



UNDP/GEF project implementation responsibilities

Formal delegation of authority to implement the GEF project

M&E responsibilities



Reporting responsibilities

Monitoring and Reporting in the PACC is taking place on several levels:

1) Participating countries:

National Coordinators are monitoring the application of goods & services (Input) to achieve project results (Outputs). They report to the PACC Project Manager about project-related activities in their country on a regular basis.

2) Project Management:

The Project Management Team at SPREP:

- Manages the overall conduct of the project
- Checks on project progress and deviations
- Ensures that changes in the project are controlled
- Ensures that implementation problems are addressed
- Assesses external and internal project risks
- Reports to donors and stakeholders on progress

3) UNDP

The UNDP Samoa Country Office is monitoring the use of SCCF funds to ensure that these funds are used in line with the endorsed project document. UNDP provides implementation support to the project management team to make sure that changes in the project are controlled and recorded, and that implementation problems are addressed.

PROJECT MONITORING

- Project Monitoring is the basis for Project Reporting
- Project Monitoring is a continuous function that provides project management and stakeholders with early indications of project progress, or lack thereof, towards delivering intended results.
- Project Monitoring requires the project team to collect information about project results, and to analyze and validate these results

KEY MONITORING TOOLS

1. Field visits

2. Quarterly Reviews

3. Annual Project Implementation Review

4. Tripartite Reviews

5. Risk Logs/Issue Logs

1. Field visits

- Field visits serve the purpose of results validation. They provide latest information on project progress.
- A second function of field visits is to assess capacity to deliver and devise necessary support
- Field visits are critical in the inception phase. They will take place in regular intervals, conducted by members of the Project Management team and assisted by UNDP Country Offices and Regional Advisors
- Field visits should be documented through brief and action-oriented reports that are prepared immediately after return to the office.

2. Quarterly Reviews:

- Quarterly reviews to analyze project progress over the past 3 months. They serve as a basis for compiling the Quarterly Operational Report (QOR)

- Quarterly Reviews are conducted by the Project Management team, and commonly approved by the Project Executive Group

- Quarterly Reviews serve as the basis for:

  - Technical reporting over the last quarter
  - Financial reporting over the last quarter
  - Activity and budget planning for the next quarter

3. Annual Project Implementation Review (PIR):

- Annual review, summarizing project progress over the past 12 months. Serves as the basis for the Annual Project Report (APR)
- Main vehicle to extract lessons from an ongoing project
- Basis of annual reporting to UNDP and the GEF Secretariat
- Annual review requires measurement of project results in comparison to project baseline, and relation of project Outputs to project Outcomes and Impact

4. Tripartite / Multipartite Reviews:

- Highest policy-level meeting of signatory parties to the project document and the executing countries
- Conducted at least once per year, commonly in sync with the annual Project Implementation Review
- Tripartite meetings sign off on substantive and financial revisions of the project
- Authority to suspend disbursements if performance benchmarks are not met
- Terminal Tripartite Review to be conducted in last month of project implementation

5. Risk Log / Issue Log:

- Risk and Issue Logs facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis contained in the project document, the risk log is regularly updated by the Project Manager to re-assess status of existing risks
- New risks are recorded, based on consensus by the Project Executive Group that these new risks may affect project implementation.
- Statements from risk and issue logs feed into Project Implementation Review and Annual Project Report

UNDP/GEF Risk Management System

- SEVEN STANDARD RISK CATEGORIES – all projects should monitor

- ENVIRONMENTAL
- FINANCIAL
- OPERATIONAL
- ORGANIZATIONAL
- POLITICAL
- REGULATORY
- STRATEGIC
- OTHER

Projects are complex and therefore likely to face risks and challenges

"Risks" Tab

Atlas Finance

Add to Favorites | Sign out

New Window | Help | Customize Page

Award Overview | Risks | Issues | Monitoring

Unit: RUS10

Award ID: 00040588 PIMS 1685 BD FSP: Altai-Sayan Biodiversity Conservation

Institution: 02664 Ministry of Natural Resources **Institution Type:** Gov Counterpart Institution

Award PI: 634419 ARMAND,Elena A **Sponsor:** 10003 Global Environment Fund Trustee

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Risk Type	Date Identified	Risk Description	Risk Management	Critical
POLITICAL	03/08/2006	Political Instability	View Details	
	03/08/2006	Institutional uncertainty - medium risk	View Details	
	03/08/2006	Lack of institutional support - low-medium risk	View Details	
FINANCIAL	03/08/2006	Weak coordination with co-financed project inputs - low-medium risk	View Details	
	03/08/2006	Insecurity of co-financing from executing agency and other sources - low-medium risk	View Details	
OPERATIONAL	03/08/2006	Misunderstood objectives - low risk	View Details	
	03/08/2006	Conflicts among stakeholders - medium risk	View Details	
	03/08/2006	Delays in required institutional adjustments - medium risk	View Details	
	03/08/2006	Lack of coordination with transboundary states	View Details	
ORGANIZATIONAL	17/07/2007	Institutional uncertainty - medium risk	View Details	
STRATEGIC	17/07/2007	Lack of coordination with bordering states -- medium-low	View Details	
FINANCIAL	11/04/2008	Budget lost from inflation and relapse of USD $ exchange rate - medium risk	View Details	
STRATEGIC	11/04/2008	Loss of biodiversity due to exhaysting exploitation of natiral resources - medium risk	View Details	
ENVIRONMENTAL	11/04/2008	no Record	View Details	
X_OTHER		No Record		

Internet 100%

PROJECT REPORTING

- Project Reporting is used to **communicate project progress**, or lack thereof, to project stakeholders and partners
- Project Reporting is conducted **at regular intervals** throughout the lifetime of a project
- Project Reporting is based on project monitoring, i.e. on **previous review** of project progress and results

KEY PROJECT REPORTS

*1) Inception Report

*2) Quarterly Progress Reports

*3) Annual Project Report (APR)

4) Thematic Reports

5) Technical Reports

6) Project Publications

*7) Terminal Report

*8) Evaluation Reports

*** Mandatory**

1. Inception Report

- Prepared immediately after Inception Workshop
- Contains revisions to the project document that have become necessary since signature of project document
- Contains Annual Workplan for first year, timetable of key milestones, monitoring and reporting events
- Includes a summary of institutional roles, responsibilities, coordination and communication mechanisms
- Needs to be approved by all members of the Project Executive Group

2. Quarterly Operational Reports (QORs)

- Summarizes Outcome of Quarterly Reviews
- Short technical narrative (in regional projects summarizing quarterly progress per country) + financial report
- Quarterly Operational Reports are collected by UNDP and submitted to GEF Secretariat

3. Annual Project Reports (APR)

- Main annual project report, based on yearly Project Implementation Review (PIR)
- Systematic measurement of project results in comparison with the situation before the project
- Systematic assessment of indicators for each project Output (baseline values, target values and actually achieved values), with pre-defined format
- Assessment of project impact over the last 12 months
- Time intensive report, needs to have high quality.

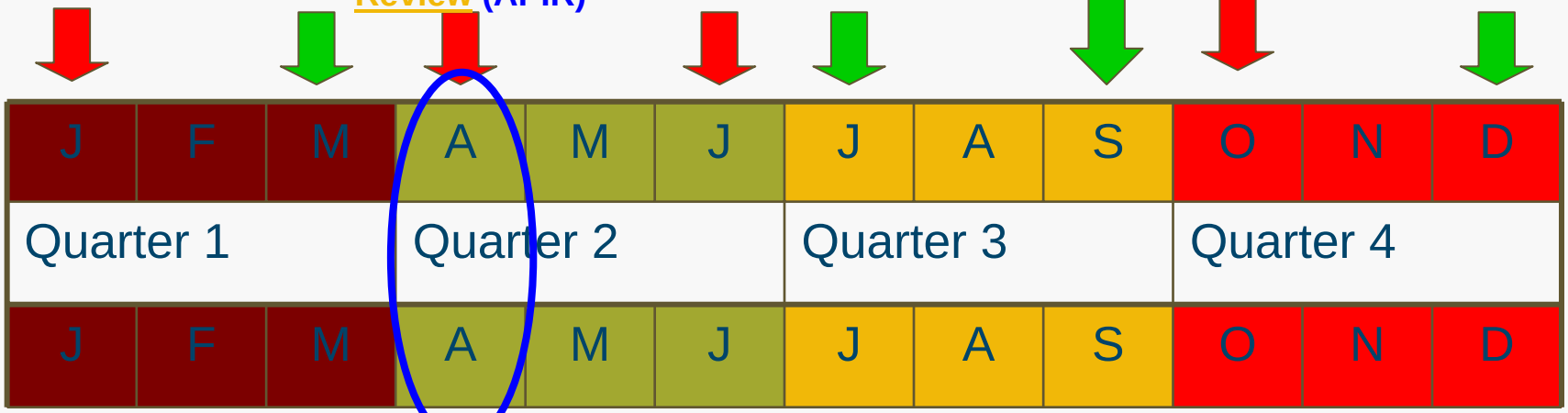
Tripartite/ Multipartite Reviews
(In sync with APIR)

Annual Project Reports

Annual Project Implementation Review (APIR)

PACC Coordinator & RPM START preparing **QPR & FACE forms** here (last 2 weeks)

UNDP receives from SPREP 15th



<Country> Quarterly Progress Report + FACE

Oct-Dec 2009

<Country> Quarterly Progress Report + FACE

Jan-Mar 2010

<Country> Quarterly Progress Report + FACE

April- June 2010

<Country> Quarterly Progress Report + FACE

July-Sept 2009

Quarterly Operation Reports (QOR) / Evaluation Reports / Terminal Reports

4. Thematic Reports

- Upon request by UNDP/GEF, with reasonable advance timeframe for preparation
- Focusing on specific issues and areas of activity (e.g. lessons learned from specific project activities, problems encountered in a specific Output area, etc.)
- Used to assist troubleshooting and to enhance knowledge management
- Required on a case-by-case basis

5. Technical Reports

- Detailed reports covering specific areas of technical analysis
- Commonly contracted out to specialized organisations/ individuals
- Linked to specific Outputs in the Logframe
- Used to inform/plan project activities (e.g. policy gap analysis, capacity assessment) or to analyze project activities (e.g. lessons learned from food security pilots)
- Inception report should contain a list of technical reports that are linked with individual Outputs in the Logframe

6. Project Publications

- Critical for dissemination of project results to several national and international channels (e.g. IPCC)
- Publications can be scientific (e.g. article in scientific journals) or informational (e.g. press releases)
- Use of multimedia for publications is increasing (videos, TV, radio, websites, etc.)
- Many projects transform technical reports into scientific publications to ensure wider dissemination
- Project publications need to recognize project partners and donors (logos, etc.)

7. Terminal Report

- Prepared by project team in the last 3 months of project operation
- Definite statement of project achievements over its lifetime, summarizing outputs met, outputs not met, lessons learned.
- Terminal Report needs to lay out recommendations about further steps to ensure project sustainability and replicability

8. Evaluation Reports

- External mid-term evaluation by second year of project implementation
- External final evaluation three months prior to terminal tripartite review
- Evaluations look at progress towards Outcomes, and at effectiveness, efficiency, timeliness and quality of project implementation
- TORs prepared by UNDP Country Office

KEY LESSONS FOR REGIONAL PROJECTS

1) Communication…

…between countries and project management:

- *Who communicates with whom?*
- *How?*
- *When and how often?*
- *Which information?*

2) Communication…

…within countries

- *Different sector departments*
- *UNFCCC and GEF focal points*
- *UN ambassadors, political counterparts*

KEY LESSONS FOR REGIONAL PROJECTS (cont.)

3) Communication…

… with UNDP

- *Financial and technical*

4) Communication…

…with the outside world

- *Media*
- *Bilaterals / Development partners*
- *UN system (UNFCCC, UN agencies, etc)*

DISCUSSION:

- ***How will the PACC Project Management team obtain at least quarterly information from 13 PACC countries?***

- ***Which communication channels and tools are available? Who will use them how often?***

- ***What are the critical monitoring & reporting milestones for the PACC in Year 2?***