



# MONITORING & EVALUATION OF UNDP-GEF PROJECTS

WIO LME SAP Policy Harmonization and Institutional Reform (WIO LME SAPPHIRE)

Akiko Yamamoto, Ph.D.  
Regional Technical Advisor for Water and Ocean Governance

UNDP Regional Service Center for Africa



## OVERVIEW

### Background:

What is GEF?

UNDP-GEF projects implementation responsibilities

### Monitoring and Evaluation Requirements:

- Adaptive Management
- Tools to monitor progress
- Report on progress
- Budget

### Risk Management

UNDP Risk Management Module



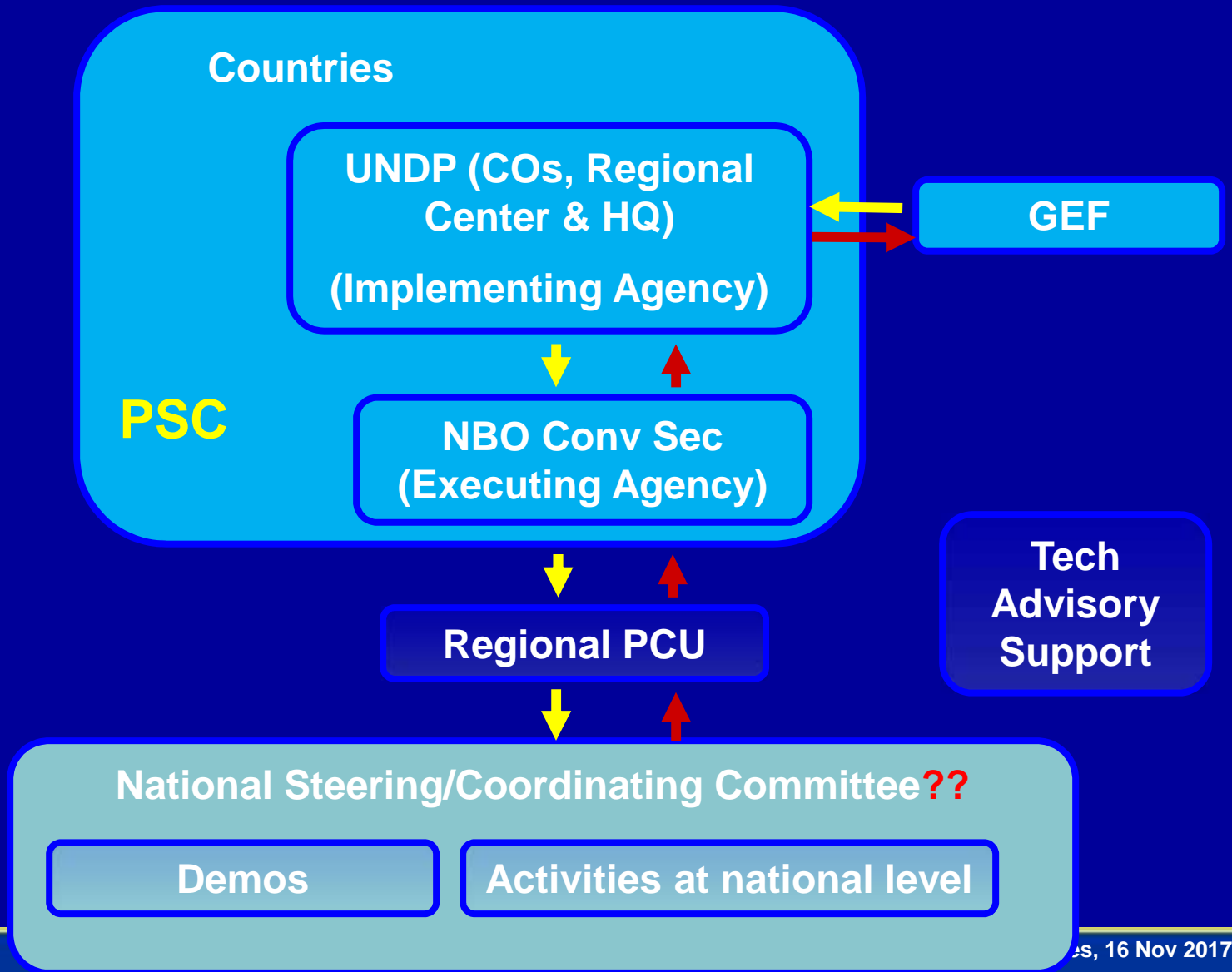
## What is GEF?

- Established to forge **international co-operation** and finance actions to **address critical threats to the global environment**:
  1. **Biodiversity loss** (in response to the UN CBD)
  2. **Climate Change Mitigation** (in response to the UNFCCC)
  3. **Chemicals and Waste** (in response to the Montreal Protocol, the Stockholm Convention on POPs)
  4. **International Waters (no Global conventions)**
  5. **Land degradation** (in response to the UNCCD)
  6. **Sustainable Forest Management**
  7. **Integrated Approaches** (issue-based)
- Mechanism for financing **“incremental costs”** of new “global environment” **actions by developing countries**
- Trust Fund

# UNDP/GEF project implementation responsibilities

→  
**Formal delegation of authority to implement the GEF project**  
**M&E responsibilities**

→  
**Reporting responsibilities**





## II. MONITORING AND EVALUATION REQUIREMENTS FOR UNDP-GEF PROJECTS





# 1. ADAPTIVE MANAGEMENT - What is it?

Focus on “results”:

- Progress towards **impact** indicators
- Achieving sustainable change

The “process” should change to take account of:

- New risks or change in risk rating
- Monitoring results (current strategy not working)
- Situation changes
- New opportunities



## ADAPTIVE MANAGEMENT - What changes are allowed?

### Objective level:

- Clearance from GEF in Washington D.C.
- Revised Project Document – very difficult process
- It is basically a new project – You will need to resubmit

### Outcome level:

- Clearance from UNDP-GEF, reported to GEF
- Revised Project Document
- Resubmission and/or independent evaluation might be necessary.

### Output/Activity level:

- Clearance from PSC, reported to UNDP Regional Technical Advisor
- Revised Workplan, Budget Revision to be approved at the Regional PSC

### Input level:

- Agreement with UNDP-Regional Technical Advisor (RTA)
- Substantive Budget Revisions cleared by RTA and Regional PSC



## 2. Tools to monitor Progress

### 2.1. **Logframe:**

Developed during the project design  
 Refined and finalized at Inception Workshop  
 Include result-oriented SMART indicators with mid-term and end-of the project targets

### 2.2. Annual Work Plan

### 2.3. Field visits by UNDP and PSC members

### 2.4. Mid-term Review and Terminal Evaluations





### 3. REPORTING ON PROGRESS

- 3.1. **Inception report** – progress in the inception stage, revisions/updates made on the logframe, total budget and work plan, indicators, monitoring framework, etc.
- 3.2. **Quarterly operational and financial reports** – reporting progress & challenges each quarter, updating risks & management responses, lessons learned, financial delivery against approved Annual Work Plan
- 3.3. **Project Implementation Reviews /Annual Project Report** – project progress for the year (July – June) rated in terms of achieving project objective and project implementation, lessons learned & best practices, co-financing

## 4. Budget for M&E (Indicative)

M&E activities	Indicative budget (US\$)
Mid-term evaluation	60,000
Final Evaluation	60,000
Field Visits	50,000
Inception workshop, inception report	60,000
Annual and Quarterly Reporting, PIR, Lessons learned, annual tracking and verification of project results	45,000
Audits	25,000
<b>TOTAL</b>	<b>300,000</b>



### III. UNDP/GEF Risk Management System



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

## 7 RISK CATEGORIES – all projects should monitor

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



## TYPES OF RISKS

### STANDARD - 7

- historically associated with unsatisfactory outcomes
- Ensures key risks are not overlooked and allows portfolio aggregation of results

### CRITICAL

- higher potential for causing damage
- medium or high impact
- probability of occurrence above 50%

## FOR EACH RISK IDENTIFIED WE NEED A MANAGEMENT RESPONSE

Risk Description	Risk Type	Impacts & Probability	Management Response	Risk Owner
Co-financing commitments are not met fully	Financial	<p>The activities described in the project document require significant co-financing (both in cash and in kind) from many organisations. Whilst firm commitments to co-financing have been sought, it is possible (through unforeseen circumstances) that one or more co-financing partners may have to reduce the level of support initially foreseen.</p> <p>P=2 I=2-4</p>	<p>Co-financing commitments have been sought in line with realistic amounts of support envisaged to the Project by each co-financing partner.</p> <p>Adaptive Project Management would also seek to remedy Any potential shortfall through other mechanisms, such as increased contributions from existing co-financing partners, or the identification of new funding partners. In the event that further adequate support cannot be realised, adjustments to the Project activities will have to be made, in consultation with Project Management Structures (RSC, UNDP, NC Secretariat GEFSEC).</p>	Project Manager; UNDP, NC Secretariat

## FOR EACH RISK IDENTIFIED WE NEED A MANAGEMENT RESPONSE

Strengthened supervision – modified Delegation of Authorities; more field visits; more frequent reporting;

Adjustments to project strategy

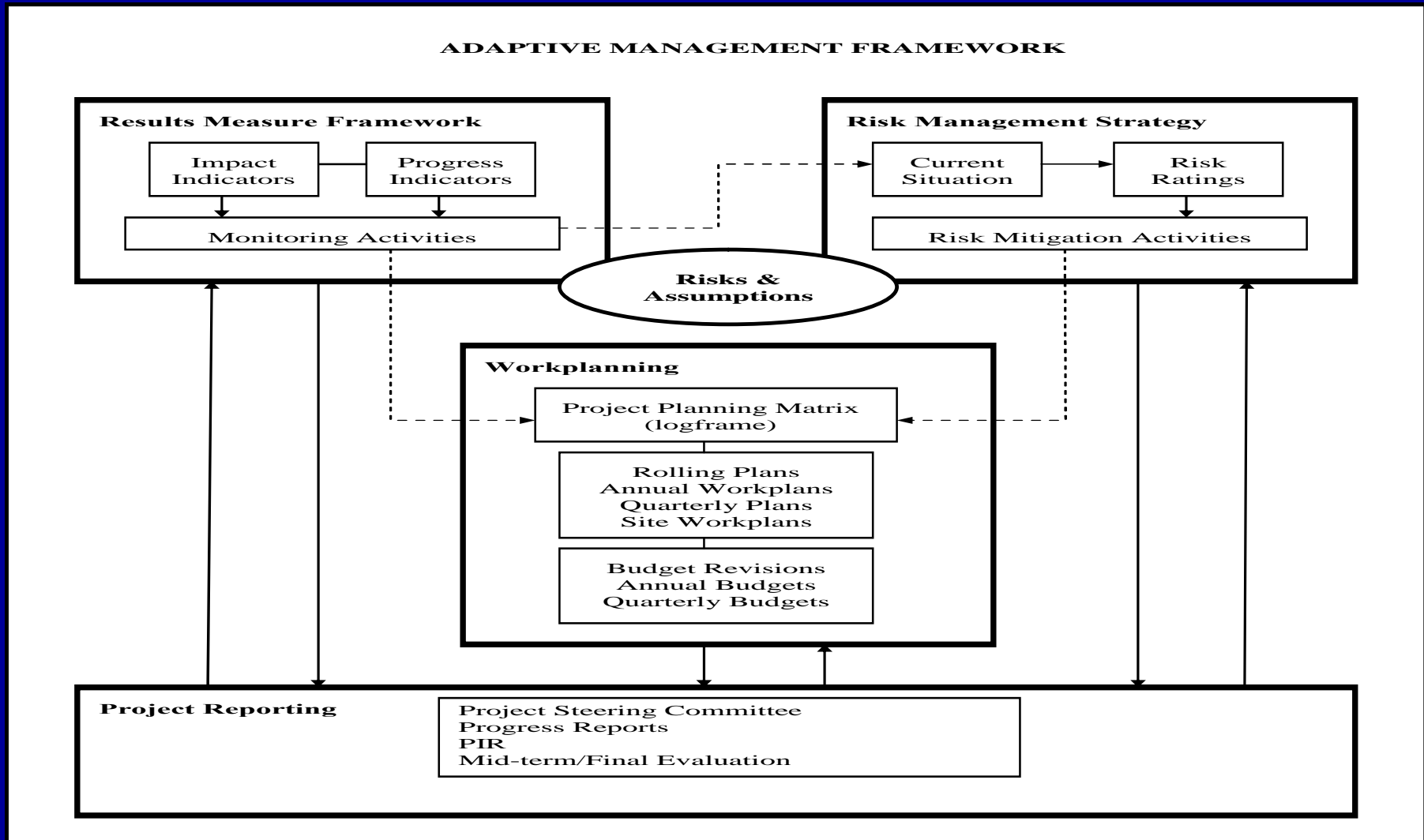
Changes to implementation arrangements

Changes in budget allocation

Temporary interruption

Termination

# Adaptive Management







**We must know where we want to arrive to determine the best way to get there.**

**We cannot adapt if we don't know to what we need to adapt.**

**What's not measured won't get done.  
& measure what matters.**

Thank you  
Merci  
Obrigada  
Asante sana