UNDP-GEF Monitoring & Evaluation Requirements

Rakshya Thapa
Regional Technical Specialist, UNDP

GTALCC Inception Workshop
Putrajaya, 8 Nov 2016

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Overview

- Monitoring and Evaluation - Introduction

- Monitoring of Results and Tools

- Project Evaluation

- Conclusion

Monitoring and Evaluation – Introduction

- M&E an integral component of project management as it tracks and assesses progress towards achieving tangible development results.

- Driven by the need to account for the achievement of intended **results** and provide a fact base to inform decision making.

- Essential management tool but more an opportunity to know whether **results** are being achieved as planned, what corrective action are needed to ensure delivery of the intended results, and how they are making positive development contributions.

- Allows to validate the logic and relevance of a project; corresponding outputs and activities and their implementation; and, to make adjustments as needed.

- Projects with strong M&E components tend to stay on track. Problems are also often detected earlier which reduces the likelihood of having major cost overruns or time delays later.

Monitoring

- Monitoring aims to identify progress towards results, precipitate decisions that would increase the likelihood of achieving results, enhance accountability and learning.

- Difference between two approaches - "Are we taking the actions we said we would take?" Vs "Are we making progress on achieving the results that we said we wanted to achieve?"

- Monitoring usually provides raw data that requires further analysis and synthesis prior to reporting for decision making.

- Information from monitoring should be used to improve and reinforce project designs…and ensure that the intended results are being achieved.

- Lessons learned are systematically captured for knowledge and improving future actions/effectivity of the project.

Key questions that monitoring seeks to answer

- Are the pre-identified outputs being produced as planned and efficiently?

- Will the planned and delivered outputs continue to be relevant for the achievement of the envisioned outcomes?

- Are the outcomes we envisaged remaining relevant and effective for achieving the overall national priorities, goals and impacts?

- What are the issues, risks and challenges that we face or foresee that need to be taken into account to ensure the achievement of results?

- What decisions need to be made concerning changes to the already planned work in subsequent stages?

- What are we learning?

Monitoring Tools

Range of approaches and tools available to monitoring projects.

Table 19. Selecting the right mix of monitoring mechanisms		
Purpose		
Data and Analysis	**Validation**	**Participation**
■ M&E framework ■ AWPs ■ Progress and quarterly reports on achievement of outputs ■ Annual Project Report ■ Project delivery reports and combined delivery reports ■ Substantive or technical documents: MDG Reports, National Human Development Reports, Human Development Reports ■ Progress towards achieving outcomes and Standard Progress Reports on outcomes	■ Field visits ■ Spot-checks ■ Reviews and assessments by other partners ■ Client surveys ■ Evaluations ■ Reviews and studies	■ Sectoral and outcome groups and mechanisms ■ Steering committees and mechanisms ■ Stakeholder meetings ■ Focus group meetings ■ Annual review
← **Learning** takes place through all monitoring tools and mechanisms →		

Clear and Concise M&E Framework

- A project should develop M&E framework as early as its planning and design stage.

- The inception kick off allows the opportunity to agree among key stakeholders – a clear monitoring plan - at the beginning of project implementation so as to have a clear basis to carry out M&E effectively.

- A clear M&E framework should clarify:

  – What is to be monitored and evaluated
  – The activities needed to monitor and evaluate
  – Who is responsible for M&E activities
  – When M&E activities are planned (timing)
  – How M&E are to be carried out (methods)
  – What resources are required and where they are committed
  – Include risks and assumptions in carrying out the planned activities.

Annual work plans (AWPs)

- AWPs detail the activities to be carried out by a project, including
  - Planned activities and budget
  - who is responsible for what, time frames
  - planned inputs and funding sources

- Usually AWPs are produced at the beginning of the year as a planning tool, and their monitoring versions are prepared later in the year separately.

- AWPs also serve as good references for monitoring progress later in the year.

- The project manager who is responsible for delivering the outputs should prepare the AWP. AWPs have multiple uses in monitoring:
  - To understand the contributions and targets set and agreed for the year to achieve a planned result in a transparent way
  - To review ongoing progress against the plan and identify bottlenecks
  - To use as a basis for reporting at the end of the reporting year (annual report) and planning future work

Snapshot of a sample AWP

I.   ANNUAL WORK PLAN

Year: 2016

EXPECTED OUTPUTS *And baseline, associated indicators and annual targets*	PLANNED ACTIVITIES *List activity results and associated actions*	TIMEFRAME				PLANNED BUDGET				RESPONS IBLE PARTY
		Q1	Q2	Q3	Q4	Funding Source	Budget Description	Amount		
								INR (in lakh	USD	
AWP output 1 *Conducting tests on 20 CSH systems through 2 new test set ups established at National Institute of Solar Energy and University of Pune.* *[Project Component 1: Technical Capacity Development]*	1.1 Operation & Maintenance of test set ups at NISE & University of Pune by Thermax			x		GEF	71300	35.00	54,816	PMU
	1.2 Test 10 nos. of CSTs at test set ups at test centres and in field				x		71300	10.00	15,662	NISE & UoP
	1.3 Conducting 3 nos. of fellowship programme by NISE, Gurgaon & other Institutes	x	x	x	x		71300	10.00	15,662	NISE
	1.4 Procurement of one Spectrophotometer for CSH testing at NISE [large integrating sphere, Abrasion resistance test set up & Salt spray apparatus for testing performance & durability of the components of CSH]		x				72200	65.00	101,801	NISE
Indicator: # No. of CSH systems tested Baseline: 0	1.5 Preparation of best practices guidelines for installation of CSH system in various establishments		x				71300	8.00	12,529	PMU
Target: 20	1.6 Miscellaneous including domestic travel						74500/ 71600	2.00	3,132	-
SUB TOTAL -I								130.00	203,602	
AWP output 2: Development of 800 ready to sanction proposals cumulating to 20,000 m² of collector; awareness creation, training and skill development for about 810 persons and developing 131	2.1 Development of 800 ready to sanction proposals in 20 states cumulating to 20000 m2 and an e-template		x			GEF	71300	15.00	23,493	PMU
	2.2 Skill development programme on CSH for 60 persons [Consortium of manufacture of concerned technology, technical institution and consultant at various locations across the country]	x					71300	40.00	62,647	-do-

Project Implementation Reviews (PIRs)

- Project level monitoring tool to track progress and report annually to the Project Board, UNDP and GEF.

- All Full-size and medium sized projects under implementation for one year or more must complete the APR/PIR each year of project implementation.

- The APR/PIRs are submitted to the GEF Secretariat and used to prepare
  - GEF Annual Monitoring Reports submitted to the GEF Council.
  - Knowledge management and learning, and communication materials including the Annual Performance Report of UNDP supported GEF financed projects.

- Covers the period between 1 July and 30 June FY

What do we report?

A. Basic Project and Finance Data

B. Project Summary

C. Project Evaluation (MTR findings)

D. Adjustments (Timeline, PPM, Critical Risks, etc.)

E. Progress toward Development Objective (DO)

F. Progress in Implementation (IP)

G. Ratings and Comments on Project Progress

H. Communications and Knowledge Management

I. Partnerships

J. Progress toward Gender Equality

K. Environmental/Social Grievances

GTALCC Results Framework

Objective / Outcome: Description of Objective / Outcome	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2017	Level at 30 June 2018
Project Objectives To facilitate the implementation of low carbon initiatives in at least five Malaysian cities and showcase a clear and integrated approach to low carbon development	• Cumulative Direct GHG Project emission reductions (ER) resulting from the Project technical assistance and investments by end-of-project, tCO2 eq.	0	346,442		.
Outcome 1.1 Major cities implemented and adopted integrated low carbon urban development plans and/or programmes.	• Number of cities which have gazetted low carbon development plans by Year 3 • Number of participating cities which have GHG inventories less than 5 years old by Year 2 • Number of cities which have officially adopted GHG reduction targets by EOP	0 2 0	5 5 3		
Outcome 2.1 Expedient appraisal, approval and implementation of strategic urban development plans/program and projects.	• Number of cities exceeding national benchmarks for appraisal and approval processes for local low carbon development projects • Average annual number of low carbon city projects per city identified in local plans, commencing implementation starting by Year 3.	0 0	5 2		

From Monitoring to Evaluation…

- Information from systematic monitoring provides critical input to evaluation. Monitoring lays the ground work for evaluation

- Evaluation complements monitoring by providing an independent and in-depth assessment of what worked and what did not work, and why this was the case

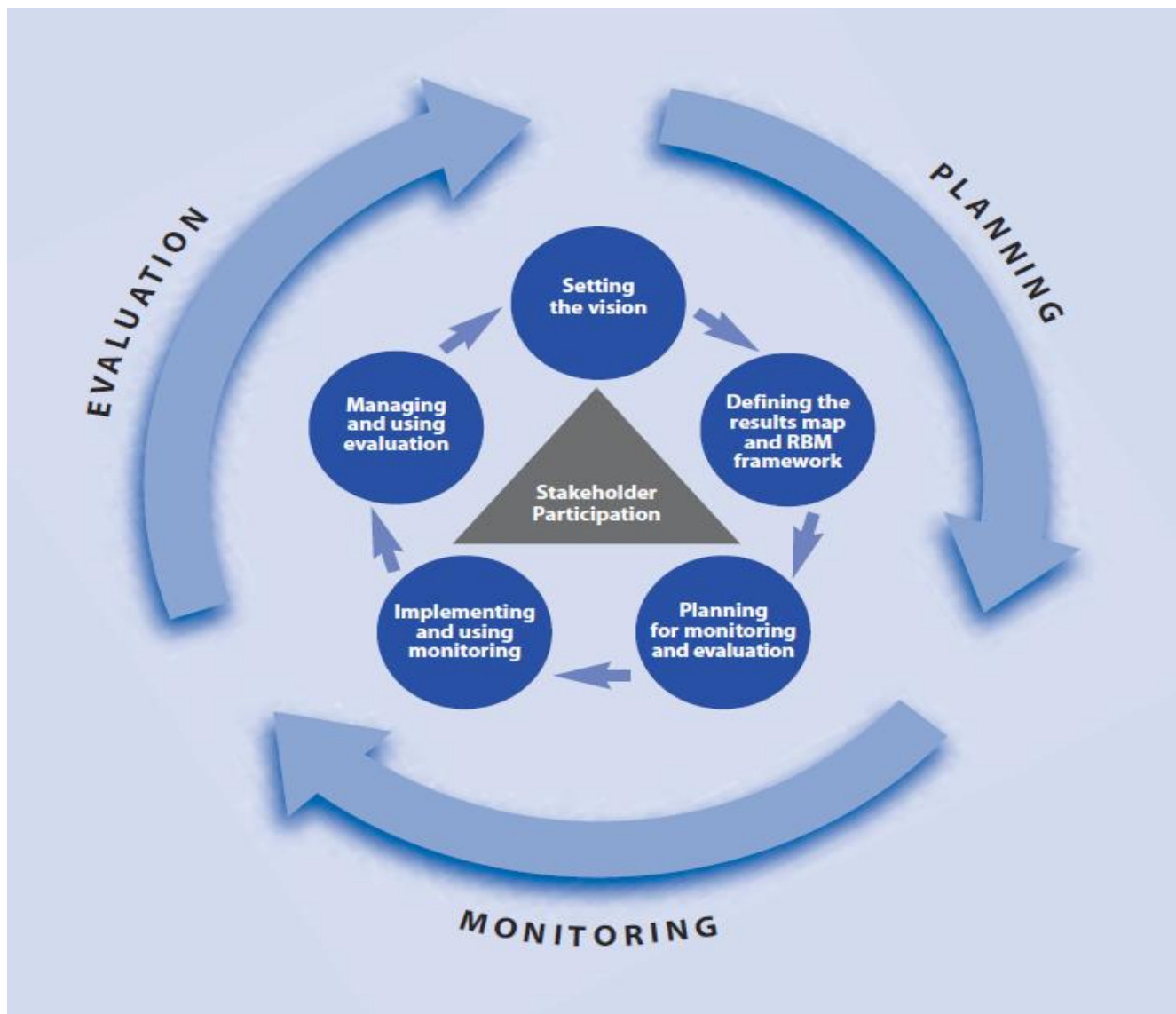- Like monitoring, evaluation is an integral part of project management and a critical management tool

Requirements of Midterm Review & Terminal Evaluation

Purpose	Midterm Review	Terminal Evaluation
Focus	▪ Review of Progress towards results ▪ Project Implementation ▪ Adaptive Management ▪ Recommendations to help the project	• Verification, assessment of results • Identification of project success for replicability • Assessment of Sustainability • Lessons Learned
Emphasis on	▪ Participatory approach ▪ Opportunity for discussion	• Independent assessment of results • Accountability and learning
Ratings provided	▪ Progress towards results ▪ Project Implementation ▪ Adaptive Management	• Monitoring and Evaluation • Outcome • Impact / Sustainability • Overall Project Result

WHAT TO ANTICIPATE

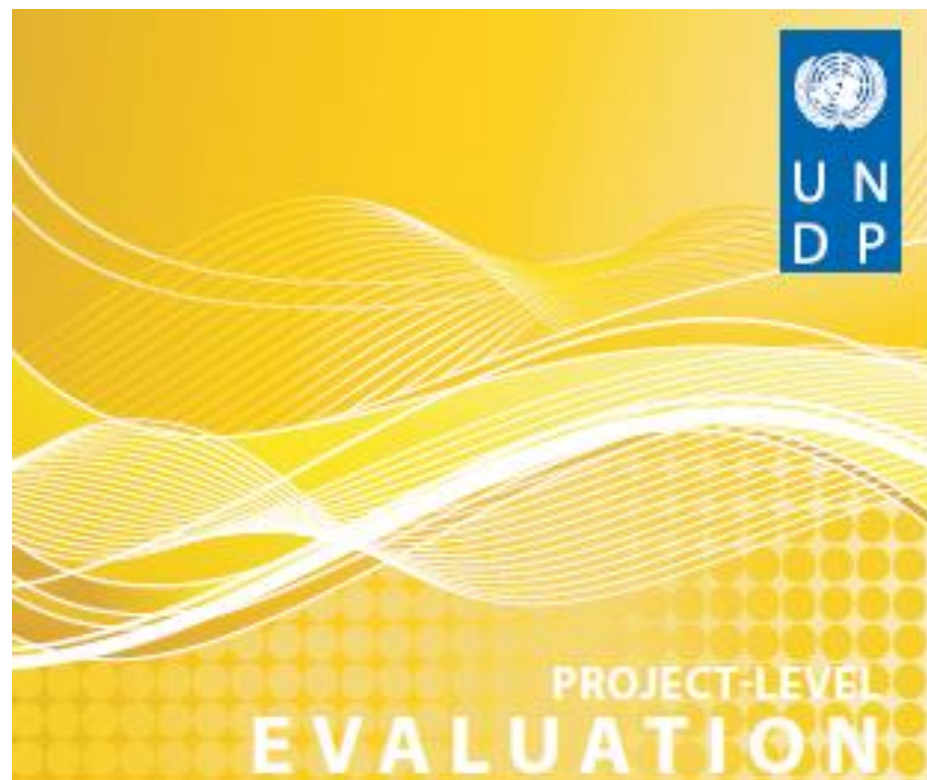The Review and Evaluation gives emphasis to:

- **Evidence of achievement -** for example bringing various stakeholders together; innovation in product design, cost reduction for end-user

- **Evidence of work accomplished** – a thorough review of Project Planning Matrix (Project log frame)

- **Co-financing contribution** – as compared to target specified in Prodoc

- **GHG reduction calculations** – how much reduction is anticipated through project's activities

- **Adaptive Management** – how the project managed to continue work in changed circumstances without losing momentum

RESOURCES AVAILABLE

"The true measure of success for the United Nations is not how much we promise but how much we deliver for those who need us most." UN Secretary General, Ban Ki-moon

Thank you

For further information please contact
rakshya.thapa@undp.org