



# Introduction to UNDP/GEF Monitoring and Evaluation in project cycle

Ana María Núñez – Regional Technical Advisor for Water, Ecosystems and Biodiversity  
UNDP Regional Hub for LAC  
([anamaria.nunez@undp.org](mailto:anamaria.nunez@undp.org))

# Content:



- *Background on the GEF*
- *Effective M&E*
  - *Results-based and adaptive management*
  - *Risk assessment and management*
  - *Communicating results – evidence-based reporting*
- *Reporting requirements in UNDP-GEF project cycle*
- *M&E reports*
- *UNDP's Social and Environmental Standards*
- *Financial requirements for GEF funded projects*

# Background on GEF: **What is GEF?**

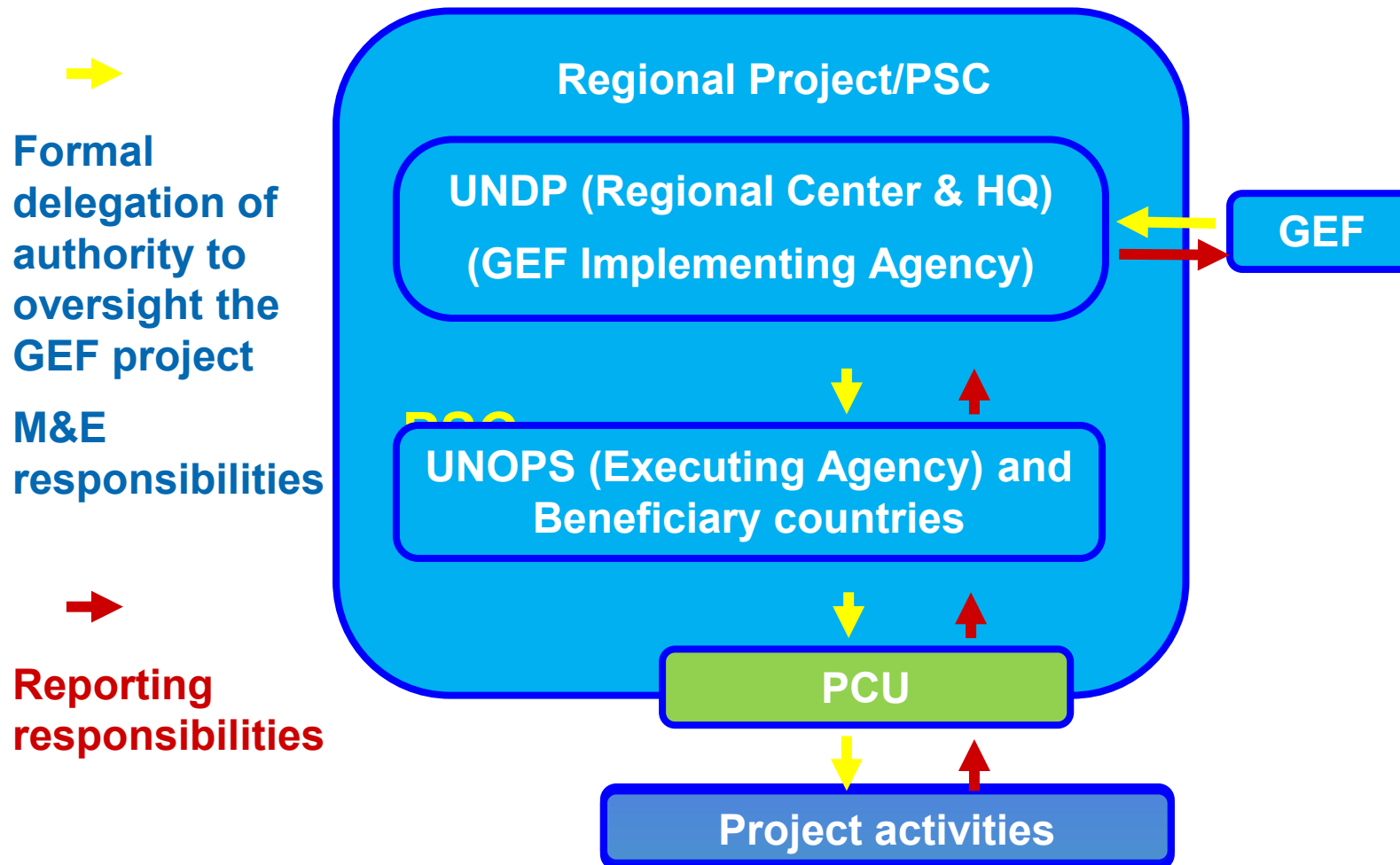


A trust fund, established to forge international cooperation and finance actions to **address critical threats to the global environment:**

1. Biodiversity (in response to the UN CBD)
2. Climate Change (in response to the UNFCCC)
3. Chemicals and Waste (in response to the Montreal Protocol, the Stockholm Convention on POPs)
- 4. International Waters** (new BBNJ treaty)
5. Land degradation (in response to the UNCCD)
6. Integrated and other programmes

Mechanism for financing “**incremental costs**” of new “global environment” actions by developing countries

# Background on GEF: UNDP/GEF project implementation responsibilities



# Effective M&E: Results-based, Adaptive Management



## What is it?

- Focus on “results”:
  - Progress towards **impact** indicators
  - Achieving sustainable change
- The “process” (to achieve results) should/can be changed, taking into account:
  - New risks or change in risk rating
  - Monitoring results (current strategy not working)
  - Situation changes
  - New opportunities

# Effective M&E: Results-based, Adaptive Management



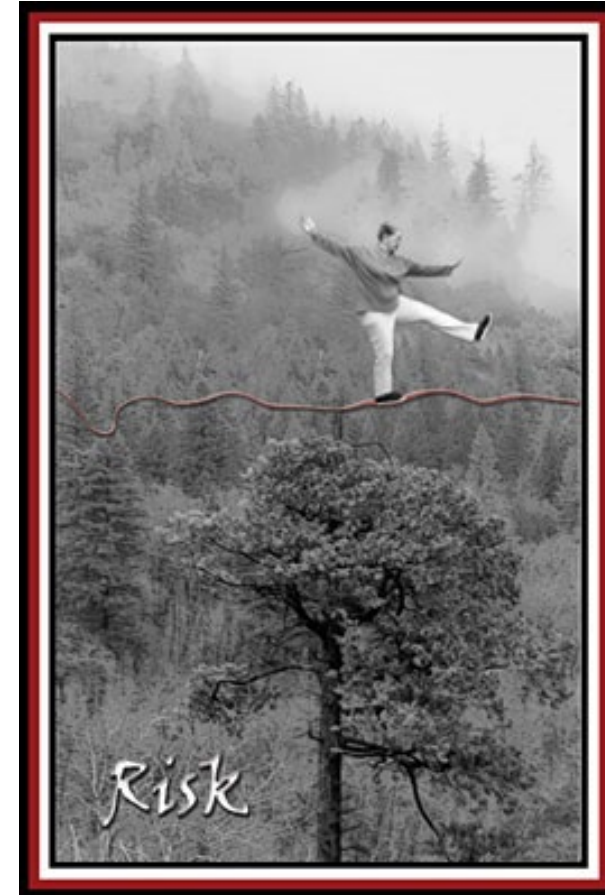
## What changes are allowed?

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

# Effective M&E: Risk assessment and management

## 7 RISK CATEGORIES – all projects must monitor

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



# Effective M&E: Risk assessment and management

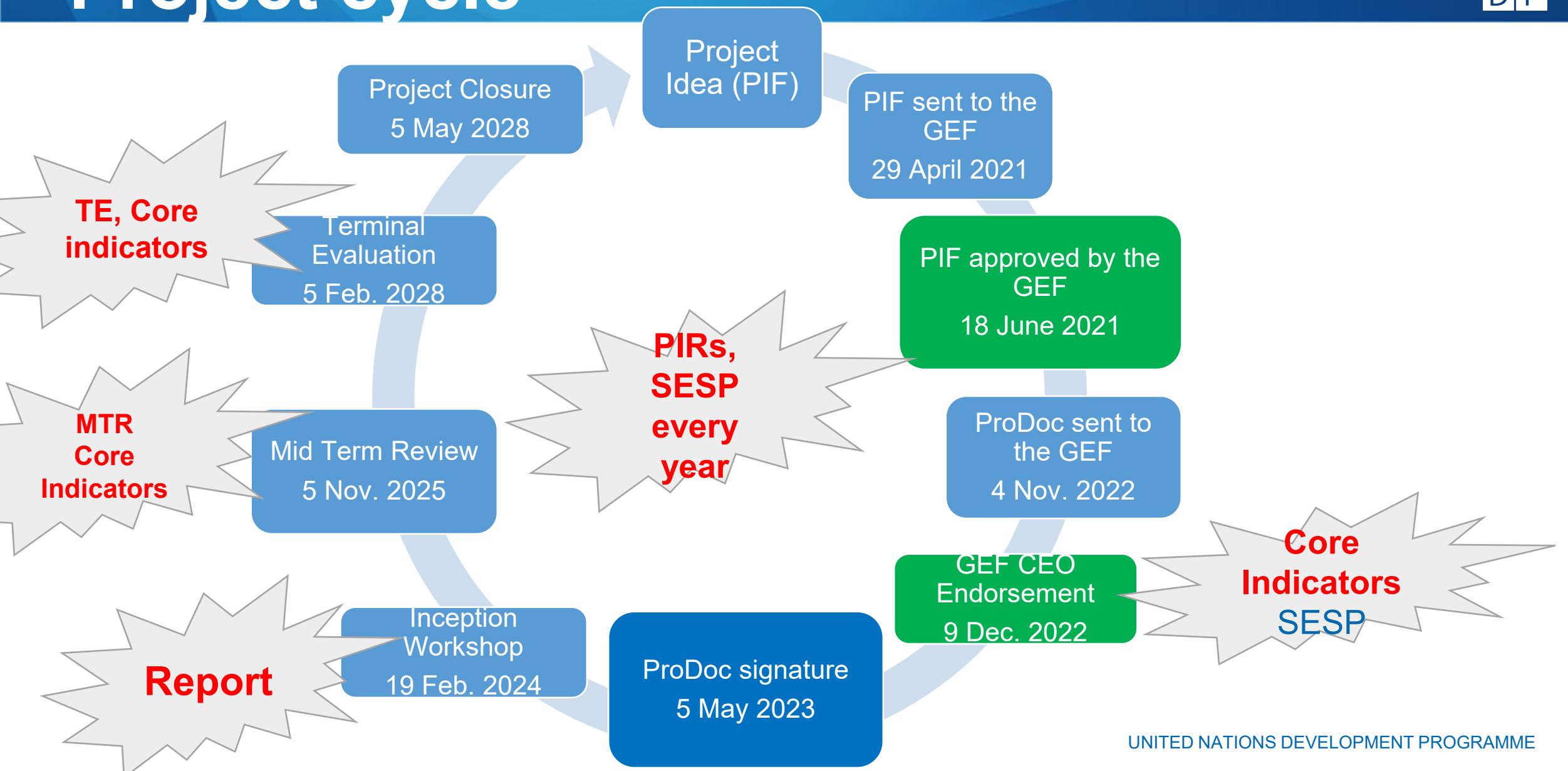


## For each risk identified, it is needed to:

- Identify risk category
- Determine significance, based on potential impacts and likelihood
- Develop a management response.
- Update the risk assessment periodically (quarterly reporting QUANTUM, annual project implementation review (PIR), MTR, TE)



# Reporting requirements in UNDP/GEF Project cycle



## Tools to monitor progress:

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. **Annual Work Plan**
3. **Field visits** by UNDP and PSC members
4. **Mid-term Review** and **Terminal Evaluation**
5. **Core Indicators**

## Reporting on progress:

1. ***Inception report*** – progress in the inception stage, revisions/updates made on the logframe, total budget and work plan, indicators, core indicators, monitoring framework, etc.
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. ***Project Implementation Reviews (PIR)*** – project progress for the year (July – June) rated in terms of achieving project objective and project implementation, lessons learned & best practices, co-financing, SESP

(& PSC minutes)

# M&E Reports: core indicators

Core Indicator 2	Marine protected areas created or under improved management for conservation and sustainable use				(Hectares)		
	Hectares (2.1+2.2)						
	Expected		Achieved				
	PIF stage	Endorsement	MTR	TE			
	<i>1 Million hectares</i>	<i>4,368,052<sup>1</sup> hectares</i>					
Indicator 2.1	Marine protected areas newly created						
Name of Protected Area	WDPA ID	IUCN category	Hectares				
			Expected		Achieved		
			PIF stage	Endorsement	MTR	TE	
			<i>500,000 hectares</i>	<i>1,055,505 Million hectares</i>			
			Sum				
Indicator 2.2	Marine protected areas under improved management effectiveness						
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score			
				Baseline		Achieved	
				PIF stage	Endorsement	MTR	TE
				<i>500,000 hectares</i>	<i>3,312,547 hectares</i>		
			Sum				

Indicator 5.2	Number of large marine ecosystems (LMEs) with reduced pollution and hypoxial				(Number)
	Number				
	Expected		Achieved		
	PIF stage	Endorsement	MTR	TE	
	<i>1</i>	<i>1</i>			

Core Indicator 7	Number of shared water ecosystems (fresh or marine) under new or improved cooperative management				(Number)
					2
Indicator 7.1	Level of Transboundary Diagnostic Analysis and Strategic Action Program (TDA/SAP) formulation and implementation <sup>3</sup>				
	Shared water ecosystem	Rating (scale 1-4)			
		PIF stage	Endorsement	MTR	TE
	2	4	4		
Indicator 7.2	Level of Regional Legal Agreements and Regional Management Institutions to support its implementation <sup>4</sup>				
	Shared water ecosystem	Rating (scale 1-4)			
		PIF stage	Endorsement	MTR	TE
	2	4	4		
Indicator 7.3	Level of National/Local reforms and active participation of Inter-Ministerial Committees <sup>5</sup>				
	Shared water ecosystem	Rating (scale 1-4)			
		PIF stage	Endorsement	MTR	TE
	2	4	4		
Indicator 7.4	Level of engagement in IWLEARN through participation and delivery of key products <sup>6</sup>				
	Shared water ecosystem	Rating (scale 1-4)			
		PIF stage	Endorsement	MTR	TE
	2	4	4		

# M&E Reports: core indicators

Core Indicator 8	Globally over-exploited fisheries Moved to more sustainable levels			(Metric Tons)
Notes: The over-exploited queen conch fishery is brought to more sustainable levels through application of traceability to annual exports corresponding to 515 metric tons/yr	Metric Tons			
	PIF stage	Endorsement	MTR	TE
	55,900	515 <sup>7</sup> metric tons/yr		

Core Indicator 11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment				(Number)
		Expected		Achieved	
		PIF stage	Endorsement	MTR	TE
	Female	162,328	162,327		
	Male	259,328	259,328		
	Total	421,655	421,655		



# UNDP's Social and Environmental Standards



## Why?

Unintended harm to people and the environment undermines the goal of development.



## What?

Social and environmental safeguards (e.g. UNDP's SES)



## HOW?

Ensuring that environmental and social considerations are taken into account at the earliest possible moment. Conduct due diligence. Engage affected people.



# Project Risk Rating and Assessment



- The project overall rating is **SUBSTANTIAL**;
- Management plans and activities will be developed during the first year of implementation, with the primary goal of avoiding all potential impacts and managing risks;
- Stakeholder Consultations / disclosure / meaningful engagement is central throughout the preparation of the assessments and management plans and during their implementation





- ✓ **Project Stakeholder Engagement Plan:**  
*ANNEX 9* : Identifies Stakeholder, roles in project, how people will be engaged
- ✓ Channels to communicate concerns and grievances – GRM – at the project level
- ✓ **Gender and Ethnic Analysis and Action plan (Annex 11)**
- ✓ **Social and Environmental Screening Procedure (Annex 6)**
- ✓ **Other assessments or plans as project needs**







# Financial Requirements for GEF-funded projects

# Background



## United Nations Development Programme

New York, 17 April 2023

Dear Ms. Von Groote,

**Subject: Full-Size Project, Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)**

I am pleased to inform you that the above project (**GEF Funds: US\$15,429,817**) has been reviewed and approved by UNDP in accordance with UNDP Project Appraisal Committee (PAC) procedures. Kindly find the attached full size project document.

It is understood that the UNOPS Project Manager in charge of this project is acquainted with the UNDP and GEF requirements and will liaise closely with his UNDP counterpart throughout the project implementation.

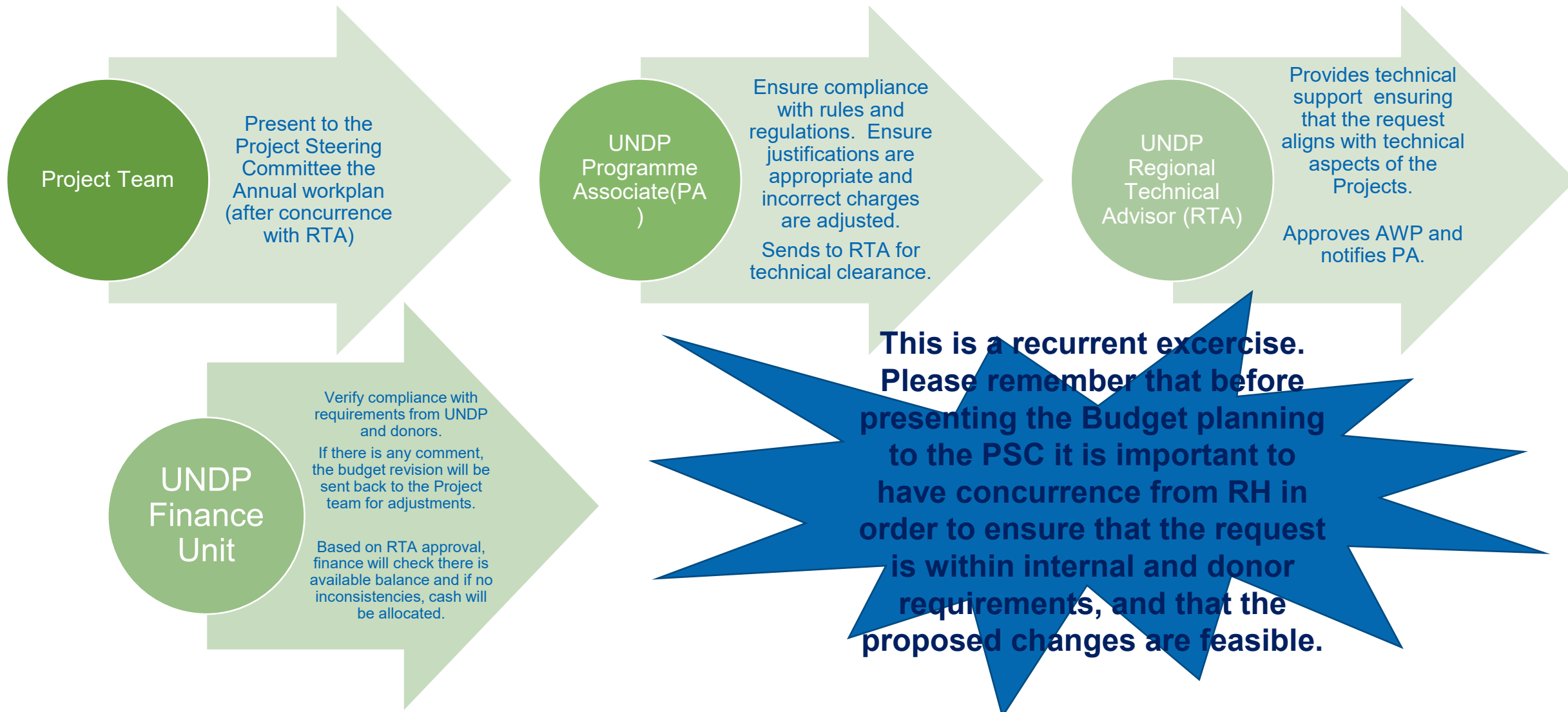
During the project implementation, budget revisions (annual or any other time if required) should be forwarded to the GEF Regional Technical Advisor with an explanation of the changes proposed. Comments on the budget revisions will be provided within 5 working days by the UNDP-GEF Regional Technical Advisor as relevant. In this connection, please note that UNDP-GEF is not in a position to increase the project budget above the amount



*Empowered lives.  
Resilient nations.*

- Any budget revision is to be send to the RTA with clear and proper justification of changes to be reflected in PIMS and Quantum.
- Budget revision should be in line with donors requirements.
- The budget should be requested only for the approved period of time for the project.

# Roles and Responsibilities



Home / Projects / 6290 PROCARIBE+

## 6290 | PROCARIBE+ | NEW YORK - VFS

[UPDATE](#)
[TIMELINE](#)
[Roles & Contacts](#)
[Finance](#)
[Library](#)
[Risks](#)
[Logframe & Taxonomy](#)

Reminders + Overdue (3) + Upcoming (4) [?](#)

[Show content](#)

Notifications + Pending (2) + Resolved (32) [?](#)

[Show content](#)

[Full Title](#)

Protecting and Restoring the Ocean's natural Capital, building Resilience and supporting region-wide Investments for sustainable Blue socio-Economic development (PROCARIBE+)

### Basic Information

PIMS ID	6290
Short Title	PROCARIBE+
Stage	Under Implementation
Sub-Stage	Under Implementation
Status	ProDoc Signed
GEF ID	<span style="color: green;">10800</span>
Targeted Council Meeting	2021 June Work Programme (60th GEF Council Meeting)
GEF Replenishment Period	GEF-7
Created By	Ms. Joana Troyano
Created At	Oct 12, 2018

### Project Type

Sources of Funds	GEF Trust Fund
Project Type	Full Size
Scope	Regional
Joint Agencies	
Project Grant Amount (USD)	FSP 15,429,817 PPG 350,000
Project Duration	<span style="color: green;">60 months</span>

### Geo-Location

Region	Global
Lead Country	New York - VFs
Participating Countries	Antigua and Barbuda Bahamas Brazil Colombia Costa Rica Cuba Dominican Republic Guatemala Guyana Haiti Honduras Jamaica Panama St. Kitts and Nevis Suriname

### Key People

RTS	
RTA	Ms. Ana María Núñez
Lead PA	Ms. Joana Troyano
Global PA	Ms. Carline Jean-Louis
SES Technical Advisor	
CO Programme Officer	
CO Programme Associate	
Project Manager/Coordinator	
Project Assistant	

# GEF specific budget requirements



- ❑ UNDP-GEF Unit is **not in a position to increase the project budget** above the amount already approved by the GEF Council (*i.e. the total GEF grant amount indicated in the signed Project Document*).
- ❑ **All GEF-funded projects must be audited** in accordance with UNDP Financial Regulations and Rules and Audit policies, and an **appropriate separation between project oversight** and **direct project services** is required in accordance with the UNDP Internal Control Framework.
- ❑ Any proposed budget revision should be discussed with and submitted to the UNDP RTA **in PIMS+** together with a clear explanation of the changes proposed as **changes exceeding certain thresholds** require review and approval by the GEF Secretariat.

# GEF specific budget requirements



## Thresholds on Budget Reallocations:

Should the following deviations occur, Project Team and UNDP Regional Office will seek prior approval of the BPPS/GEF team to ensure accurate reporting to the GEF:

- **Budget re-allocations among Components** in the project budget with amounts **that exceed 10% of the total project grant** (*no restrictions on re-allocations among existing budget items within a Component, but justification to be provided to UNDP for changes above USD 5K*) ;
- **Introduction of new budget items that exceed 5% of the total project grant.**
- **Project Management Costs (PM component/activity)** cannot exceed the approved amount.
- **Direct project costs (DPC)** must be included in PM component/activity (under 64397 Staff and 74596 GOE) and cannot exceed the approved amount.



# GEF specific budget requirements



## **UNDP Budget lines** NOT allowed/ NOT recommended:

- 75100 (F&A)
- 72700 (Hospitality)
- 73500 (Reimbursement Costs)
- BLs starting with 6xxxx
  
- 73100 (Rental & Maintenance of premises) (Can only be used if approved in the ProDoc.
  
- 72600 Grants unless approved by GEF
  
- Budget line 74500 Miscellaneous Expenses and 72500 Supplies should not exceed 3% of the total budget over the lifetime of the project

**Thank you!**

