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Mid-Term Review of the UNDP-UNEP-GEF project:

Global Support Programme for Preparation of National Communications and Biennial Up-date Reports of Non-Annex I Parties under the UNFCCC (GSP)

2015-2020

GEF Project ID: 5141
UNDP PIMS: 5164
UN Environment PIMS: 00941

Final

5 September 2018
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Basic Report Information

Project name:	Global Support Programme for Preparation of National Communications and Biennial Up-date Reports of Non-Annex I Parties under the UNFCCC (GSP)
Region:	Global
Countries:	Non-Annex I Parties to UNFCCC
UNDP PIMS:	PIMS 5164
UN Environment PIMS:	00941
GEF Project ID:	5141
Duration:	2 May 2015 to 1 May 2020 (UNDP) and August 2020 (UN Environment)
GEF Focal Area:	Climate Change
UNDP Strategic Plan 2018-21 Outcome:	<u>Key Area (b)</u> : Addressing climate change <u>Support form B</u> : Accelerate structural transformations for sustainable development <u>Support form C</u> : Build resilience to shocks and crises
UN Environment Mid Term Strategy 2018-21 Outcome:	<ul style="list-style-type: none"> Reduced vulnerability to adverse climate change impacts and maintained climate-resilient development trajectories: <ul style="list-style-type: none"> Countries increasingly advance their national adaptation plans, which integrate ecosystem-based adaptation Reduced emissions consistent with a 1.5/2°C stabilization pathway: <ul style="list-style-type: none"> Countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies
Total budget:	USD 8,950,000
GEF funding:	USD 7,150,000
UNDP funding:	USD 450,000 (LECB support)
UN Environment funding:	USD 450,000 (in-kind)
Other co-financing	USD 900,000
Unfunded amount:	Nil
GEF Implementing Agencies:	UNDP (coordinator) UN Environment
GEF Executing Agencies:	UNDP (coordinator) UN Environment
MTR dates:	Nairobi Mission: 26-28 March 2018 Berlin Mission: 24-27 April 2018 Skype/phone interviews: 9 April – 23 May 2018 Draft MTR report: 30 May 2018 Final MTR report: 5 September 2018
MTR consultant:	Kris B. Prasada Rao

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The MTR was conducted by Kris B. Prasada Rao

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MTR: UNDP-UNEP-GEF Global Support Programme

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Acronyms and Abbreviations

ASEAN	Association of Southeast Asian Nations
BUR	Biennial Update Report
CBIT	Capacity Building for Transparency (UNDP and UN Environment, GEF funded)
CEO	Chief Executive Officer
CGE	Consultative Group of Experts on National Communications from Parties not Included in Annex I to the Convention (UNFCCC)
COP	Conference of the Parties (UNFCCC)
DTU	Technical University of Denmark
EA	GEF Executing Agency
GCF	Green Climate fund (GCF)
GEF	Global Environment Facility
GHG	Greenhouse Gas
GSP	Global Support Programme for National Communications and Biennial Update Reports
IA	GEF Implementing Agency
INDC	Nationally Determined Contribution
(I)NDC	(Intended) Nationally Determined Contribution
LDC	Least Developed Country
LECB	Low Emission Capacity Building Programme (UNDP)
MRV	Monitoring, Reporting and Verification
MTR	Mid-term Review
NAMAs	National Appropriate Mitigation Actions
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NC	National Communication
NCSP	National Communications Support Programme
NDC	Nationally Determined Contribution
PAC	Project Advisory Committee
PCCB	Paris Committee on Capacity-building
PEI	UNDP-UNEP Poverty-Environment Initiative
PIF	Project Implementation Form (UNDP)
PIR	Project Implementation Review
ProDoc	Programme Document
PROVIA	Programme of Research on Climate Change Vulnerability, Impacts and Adaptation (UN Environment)
RCC	Regional Cooperation Centre (UNFCCC)
RedINGEI	Red Latinoamericana de Inventarios Nacionales de Gases de Efecto Invernadero (Latin American Network on National Greenhouse Gas Inventories)
SBSTA	Subsidiary Body for Scientific and Technological Advice
SMART	Specific, Measurable, Attainable, Relevant, Time-bound
SIDS	Small Island Development State

MTR: UNDP-UNEP-GEF Global Support Programme

ToC	Theory of Change
ToR	Terms of Reference
TNA	Technology Needs Assessment
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme (now UN Environment)
UNFCCC	United Nations Framework Convention on Climate Change
UNON	United Nations Office in Nairobi
UNV	United Nations Volunteer

1. Executive Summary

1.1 Project Information Table

1. The table below provides basic information about the programme.

Project Title	Global Support Programme for Preparation of National Communications and Biennial Up-date Reports of Non-Annex I Parties under the UNFCCC (GSP)		
UNDP Project ID (PIMS #):	PIMS 5164	PIF Approval Date:	5 Dec 2012
UN Environment PIMS:	00941		
GEF Project ID:	5141	CEO Endorsement Date:	30 Jun 2014
ATLAS Business Unit, Award # Proj. ID:	00076820	Project Document Signature Date:	2 May 2015
Country:	Non-Annex I Parties to UNFCCC	Date project manager hired:	1 Sep 2015
Region:	Global	Inception Workshop date:	8 Dec 2015
Focal Area:	Climate Change	Midterm Review completion date:	5 September 2018
GEF Focal Area Strategic Objective:	CCM-6	Planned project closing date:	1 May 2020 (UNDP) Aug 2020 (UNEP)
Trust Fund:	GEF TF	If revised, proposed op. closing date:	N/A
Implementing Agency/ Executing Partner:	Implementing Agencies: UNDP, UN Environment Executing Agencies: UNDP, UN Environment		
Other execution partners:	Partnerships with UNFCCC Secretariat and CGE, national governments		
Project Financing	at CEO endorsement (US\$)	at Midterm Review (US\$)	
[1] GEF financing:	7,150,000	3,167,695	
[2] UNDP contribution:	450,000	385,000	
[2b] UNEP contribution:	450,000	188,784	
[3] Government:	900,000	Significant, but not quantified for all participating countries	
[4] Other partners:	0	Significant, but not quantified for all partner agencies	
5] Total co-financing:	1,800,000	Not quantified	
PROJECT TOTAL COSTS:	8,950,00	Not quantified	

1.2 Project Description (brief)

2. The *Global Support Programme for Preparation of National Communications and Biennial Up-date Re-ports of Non-Annex I Parties under the UNFCCC (GSP)* provides support to Non-Annex I Parties (developing countries) in order to enable them to prepare quality NCs and BURs that are submitted to the UNFCCC in a timely manner. Furthermore, GSP provides technical guidance and assistance to key counterparts (selected Non-Annex I

Parties) for the development of the NCs and BURs as well as in the identification of priority areas of support for the implementation of Nationally Determined Contributions (NDC). It builds on previous support provided by UNDP and UN Environment, e.g. under the two phases of its predecessor, the National Communications Support Programme (NCSP).

3. The programme seeks to assist countries in a) setting up institutional arrangements for the reporting to UNFCCC, establishing structures for data collection and sharing across ministries and government institutions, b) improve report elaboration capacities, and c) improve knowledge management, communication, and sharing of experiences.
4. GSP supports countries through: a) the provision of tools and guidelines and information on experts, b) regional, national, and a few global workshops and online webinars to enhance awareness and capacities, and c) provision of request-based ad-hoc technical support (e.g. review of ToRs and draft reports). In these areas, GSP cooperates closely with key partners, such as the UNFCCC Secretariat and in particular the UNFCCC Consultative Group of Experts (CGE).
5. The programme's objective is to *"Improve the quality of Non-Annex I Parties' National Communications (NCs) and Biennial Update Reports (BURs), so they are more widely used for national development planning, climate negotiations, and for funding low emission, climate resilient development projects, while they are also submitted to the UNFCCC in a timely manner"*.
6. The programme has four intended outcomes (as per June 2014 amendment):
 - Outcome 1.1. Sustainable national institutional arrangements for climate change reporting established in Non-Annex I Parties
 - Outcome 1.2. NC and BUR data and analyses available and used by a greater number of government ministries and provincial resources managers for planning purposes
 - Outcome 2.1. National Teams are better able to apply UNFCCC reporting guidelines for the preparation of National Communications and Biennial Update Reports and countries are equipped with the understanding, technical basis and information needed to identify, prepare, consult and communicate nationally determined contributions to the UNFCCC 2015 agreement
 - Outcome 3.1: National and/or regional climate change information networking enhanced

1.3 Project Progress Summary

7. The overall rationale and the expected outcomes and types of outputs and activities of GSP are clear and logical. Nonetheless, there is a number of inconsistencies in the results framework. A fundamental challenge for GSP is that the achievement of intended outcomes described in the results framework are well beyond the scope and mandate of GSP, since the achievement of these outcomes is mainly determined by processes at the

country level; and by nature, GSP can only engage at the national level to a modest degree, and only in a relatively small number of countries. Hence, the intended objective and outcomes of GSP may be achieved in some countries, but not in others – and success, or failure, in achieving them, cannot be attributed to GSP. Hence, the assessments of the likeliness of achieving the intended outcomes presented in this report do not necessarily say much about GSP's performance. But what can be said is that GSP has been able to engage 130 Non-Annex I Parties, so the overall outreach of GSP has been surprisingly extensive.

8. GSP has engaged countries in a range of capacity-development and advisory activities; the main ones being regional workshops, country-specific workshops, reviewing written products for countries (mainly GHG inventories, NCs, and ToRs for technical experts), webinars/online training, translating key sections of UNFCCC and IPCC related guidelines, elaborating country cases studies, facilitating access to resources through the GSP website, and more recently establishing regional peer-to-peer learning networks. Thirteen regional workshops (with 116 countries participating), 14 national workshops (in 12 countries), and six webinars were arranged, co-arranged and/or co-funded by GSP. GSP has also assisted 32 countries in reviewing 25 GHG inventories, 10 NCs, and two BURs. So far, three regional networks have been established, with more in the pipeline. 16 countries have also received request-based support, where GSP has reviewed technical TORs. Stakeholders interviewed uniformly expressed an appreciation of GSP support in terms of relevance, quality, and utility.
9. GSP utilises a partnership model for delivery – In particular the financial and facilitation support from GSP has strengthened and enhanced the delivery of the work programmes of the UNFCCC Secretariat and the Consultative Group of Experts (CGE). GSP has through this partnership, as well as through its other activities actively promoted that countries switch from the 1996 to the 2006 IPCC Guidelines for GHG inventories.
10. The de-facto start of GSP implementation was significantly delayed due to delays in the recruitment of GSP staff (4 months delay with UNDP and 10 months with UNEP compared to signature date). Implementation has since picked up, but the spending is still below target for both agencies, even when factoring in the initial delays, with 37 per cent of UNDP's budget and 26 per cent of UN Environment's budget spent as of April 2018. Part of the explanation is the late staff recruitment, effective mobilisation of co-financing (thereby reducing costs for GSP), and that the budget was approximately the same for each year, not factoring in that projects typically have low initial spending which increases as the project matures. The use of partnerships has enabled GSP to engage in a large number of activities compared to the total budget. However, UN Environment's level of activity implementation has been somewhat low. Taking this into account, as well as the planned expansion of regional South-South network activities, spending can be expected to pick up in the remaining implementation period, but whether the budget can fully spent before May 2020 is uncertain, in particular for UN Environment.

11. At the project level, monitoring is largely limited to the reporting on activities and inadequately capturing GSP outcomes and results, due shortcomings in the outcomes and indicators defined.

1.4 MTR ratings and achievement summary table

12. The table below provides a brief summary of the project achievements and ratings of the project performance. See Annex 3 for information on the rating scale applied.

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	<ul style="list-style-type: none"> The overall rationale and the expected outcomes and types of outputs and activities of GSP are clear and logical A number of inconsistencies in the results framework. Objective, outcomes and some outputs defined of a nature and at a level, where GSP has limited control and the GSP contribution is impossible to measure. Results indicators difficult/impossible to monitor
Progress Towards Results	Objective Achievement Rating: S (<i>satisfactory</i>)	<ul style="list-style-type: none"> Submission level substantially increased Representation appears to remain a widespread constraint Significance of GSP contribution impossible to establish Level of GSP activity and stakeholder satisfaction is good <p>Objective Likely to be achieved</p>
	Outcome 1.1 Achievement Rating: MS (<i>moderately satisfactory</i>)	<ul style="list-style-type: none"> No sample and indicator data Representation appears to remain a widespread constraint Significance of GSP contribution impossible to establish Level of GSP activity and stakeholder satisfaction is good <p>O1.1 Likely to be achieved by some, but not all, countries reached by GSP</p>
	Outcome 1.2 Achievement Rating: MS (<i>moderately satisfactory</i>)	<ul style="list-style-type: none"> Domestic use of NC/BUR data appears to remain limited Significance of GSP contribution impossible to establish Level of GSP activity and stakeholder satisfaction is good Unlikely to be achieved, except in some countries <p>O1.2 Likely to be achieved by some, but not all, countries reached by GSP</p>
	Outcome 2.1 Achievement Rating: S (<i>satisfactory</i>)	<ul style="list-style-type: none"> Capacities of GSP participants have increased Level of GSP activity and stakeholder satisfaction is good <p>O2.1 Likely to be achieved by several, but not all, countries reached by GSP</p>
	Outcome 3.1 Achievement Rating:	<ul style="list-style-type: none"> Target already achieved Level of GSP activity and stakeholder satisfaction is good Stakeholders find the regional peer exchanges particularly useful

	HS (highly satisfactory)	O3.1 Already achieved
Project Implementation & Adaptive Management	S (satisfactory)	<ul style="list-style-type: none"> • Delayed implementation start • Generally efficient and effective project management, but opportunities for synergies between the two implementing agencies are missed, a setup as two separate projects • Strategic use of partnerships • Appropriate, but activity-focused work plans • Cost-effectiveness, but spending is below targets, partly due to: delayed start-up, cost-savings, budget not reflecting normal spending curves • Monitoring does not capture GSP outcomes • Good degree of stakeholder engagement • Overall reasonable reporting, challenges superficially covered • Effort paid to outreach and communication
Sustainability	ML (moderately likely)	<ul style="list-style-type: none"> • Risk monitoring is somewhat rudimentary • Weak institutional arrangements and capacity constraints remain major challenges for the application of GSP knowledge/skills • Financial sustainability depends on future GEF/donor support. There may be a gap in financing due to different timelines of GSP and the GEF • The degree of sustainability at the national level will vary significantly among countries, and a generalised statement on GSP sustainability is not feasible

1.5 Concise summary of conclusions

13. **Relevance:** GSP is addressing a shared challenge for most Non-Annex I Parties; the challenges with establishing solid systems for GHG inventories and with preparing and timely submitting quality NCs and BURs. These challenges are important to tackle for the countries, for the following reasons:

- Countries are obliged to submit NCs and BURs under the UNFCCC framework, and reporting requirements are likely to be further increased in the future
- The availability of solid climate change-related data will enable countries to make policy and planning decisions and prioritisations on an informed basis, thereby enabling them to tackle GHG emissions and climate vulnerability more effectively
- The availability of NC and BUR can facilitate the mobilisation of international climate financing

14. The fact that 73% of all Non-Annex I Parties, 74% of all LDCs, and 71% of all SIDS have participated in GSP activities is a testimony to the fact that GSP is meeting a genuine demand. Moreover, GSP has an added relevance as a link between global processes and national implementation and challenges.

15. **Effectiveness and impact:** GSP has had a surprising outreach and engaged almost three-quarters of all Non-Annex I Parties, LDCs and SIDS in its activities. GSP has strategically

used partnerships and joint activities to enhance its effectiveness and outreach. The most central partnership is with the UNFCCC Secretariat and CGE, where GSP with financial support and collaborative preparation of workshops and other activities has significantly augmented the delivery of the capacity-building work plans of the UNFCCC Secretariat and CGE.

16. The general responsiveness, relevance, quality and utility of GSP is widely appreciated by both countries and international partners. The most valued contribution of GSP is arguably the regional peer-to-peer learning opportunities, which has inspired countries to make tangible improvements. Anecdotal evidence suggests that GSP has enhanced national capacities and that participating countries have been able to make tangible improvements in NCs/BURs prepared. However, the extent to which GSP's mainly short-term and ad-hoc support of GSP is fully leading to the intended results in terms of improved reporting and especially improved institutional setups is not clear and hinges on a number of factors at the national level, over which GSP has little control.
17. **Efficiency:** Overall project management is efficient, and GSP has proven flexible and responsive to emerging needs and opportunities. Slow recruitment process at both agencies delayed project start, especially for UN Environment. Spending remains below target, in part due to the cost-effectiveness and cost-savings obtained through GSP's partnership model which leverages co-financing from partners and even from countries themselves, thereby reducing the costs for GSP. Overall, spending is likely to pick up in the remaining implementation period, e.g. with the expansion of regional networking activities.
18. The use of partnerships has enabled GSP to engage in a large number of activities compared to the total budget. However, UN Environment's level of activity implementation has been somewhat low in terms of workshops and trainings. The two agencies rely on different delivery strategies, where UNDP relies on the mobilisation of external technical experts and partners, whereas UN Environment utilises mainly its GSP Manager for delivering technical inputs.
19. UNDP and UN Environment each have their unique strengths and there is thus a potential for synergy and mutual reinforcement, but the current set-up, with separate teams in different locations, separate budgets and thus to a large extent separate activities, has not been entirely conducive for capitalising on such synergies. Indeed, from an implementation perspective, GSP is largely functioning as two separate projects – albeit two projects that do coordinate their work and cooperate on certain activities.
20. **Sustainability:** At the national level, the sustainability of the results achieved by GSP depends on domestic political, institutional and financial factors, which are outside the control of GSP. The global functions carried out by GSP as well as consolidation and sustainability of the regional networks beyond 2020 depends on further funding, e.g. from the GEF.

1.6 Recommendation Summary Table

21. Six overall recommendations, each supported by 3-8 specific key actions, and with an indication of the responsible partners are presented in Chapter 5.2. Most of the need at-attention for the remaining GSP implementation period, while others should to be ad-dressed in the planning of the anticipated next phase of GSP. The table below present the overall recommendations. The specific key actions are presented in chapter 5.2.

Rec #	Recommendation	Entity Responsible
A	O1.1: Sustainable national institutional arrangements for climate change reporting established in Non-Annex I Parties	
A.1 (R1)	Revise the indicators, targets, assumptions and risks in the results framework – to make them relevant and attributable to GSP delivery and feasible to measure	GSP UNDP UNEP
A.2 (R5)	Build upon, and further enhance, GSP's partnership model and stakeholder engagement for effective and efficient delivery	GSP UNDP UNEP PAC
A.3 (R6)	Further enhance the targeting of GSP delivery on key challenges for Non-Annex I Parties, peer learning, and the specific needs of LDCs and SIDS	GSP PAC
B	O1.2: NC and BUR data and analyses available and used by a greater number of government ministries and provincial resources managers for planning purposes	
B.1 (R1)	See A.1 (R1) above	
B.2 (R6)	See A.2 (R6) above	
C	O2.1: National Teams are better able to apply UNFCCC reporting guidelines for the preparation of National Communications and Biennial Update Reports and countries are equipped with the understanding, technical basis and information needed to identify, prepare, consult and communicate nationally determined contributions to the UNFCCC 2015 agreement	
C.1 (R1)	See A.1 (R1) above	
C.2 (R5)	Build upon, and further enhance, GSP's partnership model and stakeholder engagement for effective and efficient delivery	GSP UNDP UNEP PAC
C.3 (R6)	See A.2 (R6) above	
D	O3.1: National and/or regional climate change information networking enhanced	
D.1 (R1)	See A.1 (R1) above	
D.2 (R5)	See C.2 (R5) above	
E	Project Implementation & Adaptive Management	
E.1 (R2)	Establish and implement an outcome/results and risk monitoring system	GSP UNDP UNEP
E.2 (R3)	Change the project management setup to ensure that the project becomes a joint effort by UNDP and UN Environment and fully capitalises on potential synergies and the comparative strengths of both agencies	UNDP UNEP PAC

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E.3 (R4)	Implement support measures to further increase UN Environment implementation of GSP activities	UNEP
E.4 (R5)	See C.2 (R5) above	
F	Sustainability	
F.1 (R5)	See C.2 (R5) above	
F.2 (R6)	See A.2 (R6) above	

2 Introduction

2.1 Purpose of the MTR and objectives

22. The objectives of the MTR were to:

- Assess progress towards the achievement of the project objectives and outcomes.
- Assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results.
- Review the project's strategy and its risks to sustainability.

2.2 MTR scope and methodology:

23. Using the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (2014), the MTR reviewed: a) the progress towards, and likeliness of, achieving the intended results (GSP's objective and outcomes), b) the solidity and appropriateness of the project strategy, and c) the programme's sustainability and associated risks. Based on the findings, the MTR has come up with implementable recommendations vis-à-vis the key challenges and shortcoming identified, in order to ensure GSP will achieve the intended results before its completion and ensuring their longer-term sustainability. More long-term recommendation for the management setup for the planned next phase of GSP are also provided.
24. A series of evaluative questions guided the MTR, see Annex 2. The assignment comprised four main, but partly parallel, phases: a) inception, b) document review, c) stakeholders consultations (in Nairobi, in Berlin, over Skype/phone, and by email), and d) analysis and reporting.
25. A combination of methods was used to gather information in order to triangulate information/data and thereby ensure their solidity, and the combination of sources will also help reducing information gaps. The MTR was based on a combination of direct consultations with stakeholders and secondary sources, e.g. project documentation, see Annex 5 for a detailed list of stakeholders consulted, and Annex 6 for details on the documents reviewed.

2.3 Limitations

26. A number of limitations applied to the MTR:

- The MTR consultant was not able to interview representatives from all the countries supported by GSP, but only a sample of those present at the CBIT workshop in Berlin on 24-27 April, plus one Skype interview. Considering the very diverse contexts and specificities of each country, the general picture obtained by the MTR consultant may not be fully applicable for all countries and regions.
- The MTR consultant did not visit the supported Non-Annex I Parties, and thus not be able to make a detailed assessment/verification of the application at the national level of the skills and capacities gained, nor could the MTR consultant make an in-depth assessment of other factors promoting or inhibiting the application of the skills and capacities at the country level.

- The existence and availability of GSP baseline and monitoring data at outcome level is scarce, limiting the ability of the MTR consultant to make accurate and quantitative assessments of the outcomes and results achieved.
- UN Environment financial system Umoja does not provide outcome/output based financial reports, which limited the ability to fully follow the UNDP/GEF MTR guidelines vis-à-vis assessing financial aspects.
- Full information about realised co-financing from all partners was not available to the MTR – co-financing is provided by several participating Non-Annex I parties and a number of international organisation partners (e.g. for joint activities), thus retrieving information to fully quantify of the entire co-financing would have been a major endeavour for GSP. Therefore, the MTR instead describes the nature of co-financing and presents a couple of examples.

2.4 Structure of the MTR report

27. The MTR report is arranged in five main sections. Section 1 provides a short executive summary of the main features, findings, conclusions and main recommendations of the report. Section 2 provides a description of the purpose, scope and methodology of the MTR. Section 3 provides a description of the programme context and the design of the programme and its key features, modalities, and stakeholders.
28. Section 4 presents the MTR findings vis-à-vis the programme strategy, implementation progress and results, project implementation and management, and sustainability. Section 5 present the MTR conclusions vis-à-vis the internationally applied evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability; and the section also presents the detailed recommendations of the MTR. Further supportive information is provided in annexes.

3 Project Description, background and context

3.1 Development context

29. Parties to the UN Framework Convention on Climate Change (UNFCCC) have commitments to periodically submit reports aimed at measuring and reporting on: a) GHG emissions, mitigation, and adaptation measures and programmes; and b) finance, technology and capacity building needs. For Non-Annex I Parties (i.e. least developed countries (LDCs), small island development states (SIDS), and mid-income countries), the preparation of such reports is also important for their ability to attract new climate financing, e.g. from the Green Climate fund (GCF). However, while such reports have been prepared for many years, most non-Annex I Parties still face significant capacity constraints vis-à-vis the preparation and submission of quality reports on a regular basis. Many countries have as a result relied on (international) consultants for the preparation of the reports, with limited scope for strengthening national reporting capacities and building up national structures and repositories for storing data series, e.g. on GHG emissions. Moreover, the reporting requirements under UNFCCC have become more sophisticated and comprehensive over the years, with National Communications (NCs), Biennial Update Reports (BURs), National Adaptation Plans (NAPs), and National Adaptation Programmes of Action (NAPAs), and the expected Nationally Determined Contributions (NDCs) reporting (to start in 2020).
30. Many Non-Annex I Parties have established institutional frameworks for handling reporting to UNFCCC, but are still faced with several challenges vis-à-vis the compliance with current and future reporting requirements, such as:
- A need to consolidate the institutional structures established and overcome the current dependency on donor-funded project financing
 - Technical capacity constraints
 - Staff shortages and staff turnover
 - Insufficient coordination across ministries, agencies and sectors
 - Lack of data and insufficient data generation

Box1: Reports under UNFCCC – Non-Annex I Parties

Compulsory reports:

NCs: Provide information on GHG inventories, measures to mitigate emission and to facilitate adaptation, and other information relevant to the achievement of the objective of UNFCCC.

BURs: Updates on national GHG inventories, incl. a national inventory report and information on mitigation actions, support needs and support received. Provide updates on actions undertaken to implement UNFCCC, incl. actions to reduce GHG emissions status and increase removals by GHG sinks.

INDCs/NDCs: (Intended) nationally determined contributions to reducing GHG emissions that each country intends to achieve through mitigation measures as well as adaptation measures.

Voluntary reports:

NAMAs: NAMAs (National Appropriate Mitigation Actions) are government initiatives that reduce emissions in developing countries. They can be policies within an economic sector, or actions across sectors. NAMAs are supported and enabled by technology, financing, and capacity-building. NAMAs can both be national level formal submissions of Parties declaring intended emission mitigation and detailed individual mitigation actions.

NAPs: Identify medium- and long-term adaptation needs and strategies and programmes to address those needs

NAPAs: Identify priority activities responding to urgent and immediate needs with regard to climate change adaptation.

TNAs: Technology Needs Assessments of countries' technology needs vis-à-vis the implementation of mitigation and adaptation projects.

Source: unfccc.int

3.2 Problems that the project sought to address

31. GSP provides support to Non-Annex I Parties to enable them to prepare quality NCs and BURs that are submitted to the UNFCCC in a timely manner. Furthermore, GSP provides technical guidance and assistance to Non-Annex I Parties for the development of the NCs and BURs as well as in the identification of priority areas of support for the implementation of NDCs. It builds on previous support provided by UNDP and UN Environment, e.g. under the two phases of its predecessor, the National Communications Support Programme (NCSP).
32. The programme seeks to assist countries in:
- Setting up institutional arrangements for the reporting to UNFCCC, establishing structures for data collection and sharing across ministries and government institutions
 - Improve report elaboration capacities
 - Improve knowledge management, communication, and sharing of experiences
33. GSP supports countries through:
- The provision of tools and guidelines and information on experts
 - Regional (and a few global) workshops and online courses and webinars to enhance awareness and capacities
 - Provision of request-based technical support (e.g. national workshops, review of ToRs and draft reports)
 - Regional measurement, monitoring and verification (MRV) networks for information sharing, peer review, and south-south collaboration
34. In these areas, GSP cooperates closely with key partners, such as the UNFCCC Secretariat and in particular the UNFCCC Consultative Group of Experts (CGE).

3.3 Project objective and outcomes

35. The programme's objective is to *"Improve the quality of Non-Annex I Parties' National Communications (NCs) and Biennial Update Reports (BURs), so they are more widely used for national development planning, climate negotiations, and for funding low emission,*

climate resilient development projects, while they are also submitted to the UNFCCC in a timely manner”¹.

36. The programme comprises three components (as per June 2014 amendment):

- Component 1: Broaden and make more robust and operational, institutional arrangements for the preparations of NCs and BURs
- Component 2: Provide technical backstopping to national teams for the preparation of NCs, BURs, and nationally determined contributions to the 2015 agreement including the preparation and dissemination of technical and policy-relevant guidance materials, methodologies and tools.
- Component 3: Enhance knowledge management, best practice, communication and outreach

37. The programme has four intended outcomes (as per June 2014 amendment):

- Outcome 1.1. Sustainable national institutional arrangements for climate change reporting established in Non-Annex I Parties
- Outcome 1.2. NC and BUR data and analyses available and used by a greater number of government ministries and provincial resources managers for planning purposes
- Outcome 2.1. National Teams are better able to apply UNFCCC reporting guidelines for the preparation of National Communications and Biennial Update Reports and countries are equipped with the understanding, technical basis and information needed to identify, prepare, consult and communicate nationally determined contributions to the UNFCCC 2015 agreement.
- Outcome 3.1: National and/or regional climate change information networking enhanced.

3.4 Project timing and milestones

38. GSP implementation formally started on 2 May 2015 (signature date), but implementation started later: the UNDP programme coordinator took up his position in September 2015, and the UN Environment Programme Management Officer took up his position in March 2016. The programme is scheduled for completion on 1 May 2020 for UNDP and August 2020 for UN environment. An inception workshop was held on 8 December 2015. The CEO endorsement, UNDP programme document (ProDoc) and UNEP’s Annexes to CEO Endorsement Document do not provide an implementation plan with milestones, it only provides baselines and end-of-project targets for the indicators. The annual work plans provide annual targets only for the outputs and activities.

3.5 Project budget

39. GSP is supported by the GEF-5 Trust Fund with an allocation of USD 7,150,000 complemented by an anticipated co-financing from UNDP (USD 450,000 in cash), UN Environment (USD 450,000 in kind), and from participating Non-Annex I Parties (USD 900,000 in

¹ CEO Endorsement. GEF Council Notification on Amended Project, 18 June 2014

kind). However, co-financing has also been mobilised from partner institutions, including the UNFCCC Secretariat, for joint activities such as workshops. See Chapter 4.3 for a breakdown of co-financing and the co-financing realised by mid-term.

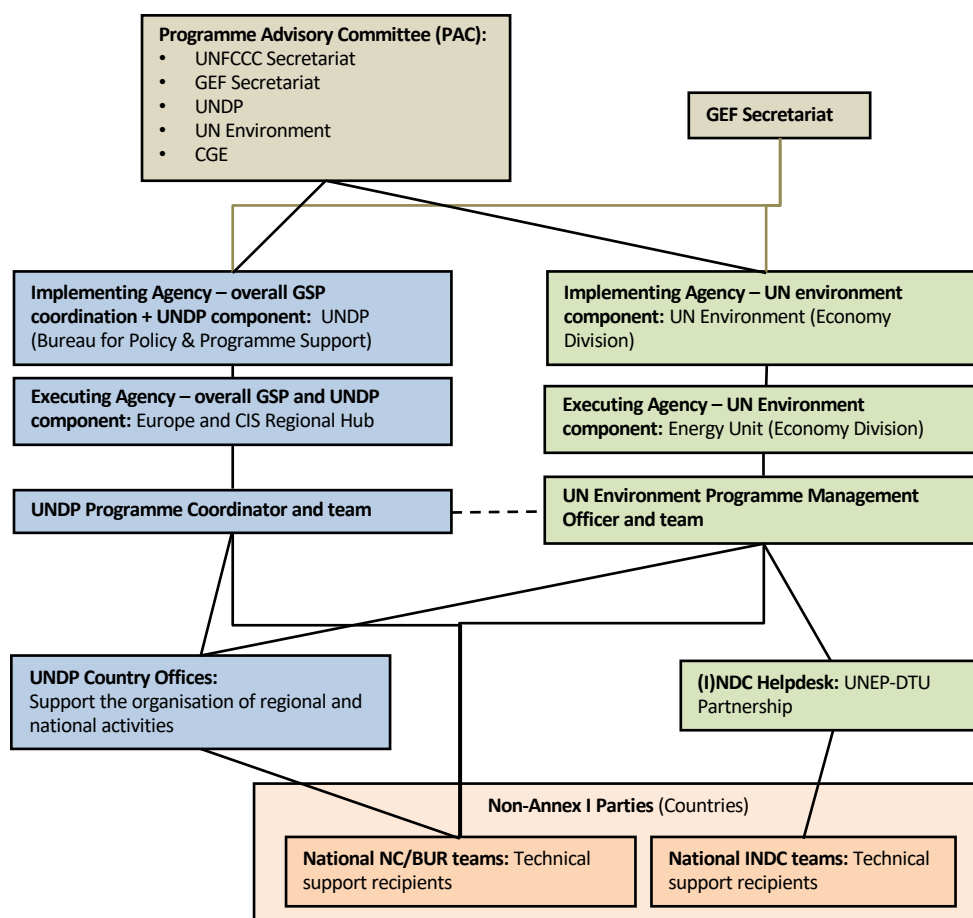
3.6 Project location and sites

40. GSP is a global programme involving interested Non-Annex I Parties in its activities, which take place in different locations. Hence, the programme does not have any specific project locations, but operates in different locations selected for individual activities. Nonetheless, the following locations are of particular importance to GSP:

- Bonn – the location of the UNFCCC Secretariat and for Subsidiary Body for Scientific and Technological Advice (SBSTA) meetings and technical meetings under UNFCCC,
- Istanbul – the location of the Europe and CIS Regional Hub (Istanbul) and the UNDP GSP team
- Nairobi – the location of the UN Environment headquarters and the UN Environment GSP team.
- Copenhagen – the location of the UNEP-DTU, which implements UNEP GSP (I)NDC activities.

3.7 Project implementation arrangements and stakeholders

41. The figure below depicts the management setup for GSP.



42. The Project Advisory Committee (PAC) is responsible for oversight of project implementation and approves the annual work plans and budgets as well as any major changes in the project activities. The PAC has once in 2106, twice in 2017, and once in 2018 (as of mid 2018). PAC meetings are held back-to-back with CGE meetings. The PAC comprises representatives from the UNFCCC Secretariat, GEF Secretariat, UNDP, UN Environment, and the CGE. Till now the PAC meetings have been chaired by the representative of the UNFCCC Secretariat, the GEF Secretariat, or the CGE. The CGE is representing the benefiting Non-Annex I Parties.
43. UNDP and UN Environment both have the dual roles as GEF Implementing Agencies (IA) (strategic oversight) and Executing Agencies (EA) (day-to-day implementation), each being responsible for its own share of the budget and activities. UNDP has the overall coordinating responsibility for GSP, but UN Environment is fully autonomous in the management of its own activities and budget and reports financially directly to the GEF Secretariat. The Project Implementation Review (PIR) reports are prepared jointly. The executing and implementing agency roles are separated internally (firewall) in each agency:
- At UNDP, the implementing function is with the Bureau for Policy & Programme Support (New York), and the executing function with the Europe and CIS Regional Hub (Istanbul)
 - At UN Environment, the executing function is with the Economy Division (Nairobi), and the implementing function with the Energy Unit under the Economy Division (Paris)
44. The two agencies had made an informal overall division of labour as follows:
- UNDP: Vulnerability and Adaptation
 - UN Environment: Mitigation and GHG Inventories
- However, this general division is flexible, and both agencies engage in both mitigation and adaptation.
45. Day-to-day programme coordination and implementation: The GSP Coordinator is employed by UNDP and housed at the Europe and CIS Regional Hub, he is supported by a Programme Associate (administrative issues) and since April 2017 a UN Volunteer, and an external consultant engaged for the review of GHG inventories.
46. On the UN Environment side, a Programme Management Officer is managing GSP implementation, supported by a Fund Management Officer (part-time support) and a Programme Associate (administrative issues, part-time support), all based at UN Environment's headquarters in Nairobi. UN Environment plans to recruit a UN Volunteer to support UNEP GSP management and a team of external consultants for supporting regional MRV networks. The UNEP-DTU Partnership (Copenhagen) has been contracted by UN Environment to implement UN Environment's (I)NDC component of GSP, including the online helpdesk on (I)NDC for Non-Annex I Parties.
47. UNDP Country Offices support procurement and logistics in relation to activities at the

regional and national levels. For UN Environment activities, the UNDP Country Offices are also used, except in countries where UN Environment has a Regional Office.

48. In addition to regular virtual coordination meetings, UNDP and UN Environment GSP staff meet at least once a year to review and discuss the implementation status of the previous year's implementation plan status and agree on activities for the subsequent annual joint implementation plan and budget.
49. The UNFCCC Secretariat and CGE are key partners and beneficiaries of GSP, as GSP, a) provides support for the development and dissemination of guidelines and tools for Non-Annex I Parties, and b) finances and co-implement with CGE capacity development workshops for Non-Annex I Parties, c) provides resource persons for CGE training workshops, and d) represents UNDP and UN Environment at CGE meetings.
50. Governments of Non-Annex I Parties (mainly national teams responsible for reporting to UNFCCC) are the primary stakeholders and end beneficiaries, which are supported by GSP vis-à-vis NC and BUR reporting. For national-level workshops, they are responsible for planning and co-financing in-country logistics and expert inputs². Moreover, some Non-Annex I parties (e.g. Brazil and Singapore) cooperate with GSP in providing support to other Non-Annex I Parties.
51. Governments (international development agencies) from Annex I Parties (e.g. Germany, Belgium, and Australia) cooperate with GSP on joint/co-funded support activities for Non-Annex I Parties.
52. Group of Friends on MRV and Transparency (monitoring, reporting and verification) is an informal coordination platform initiated and led by the GSP to bring together the different international stakeholders supporting Non-Annex I Parties in the development of MRV systems, NCs, and BURs. The objective is to share information, enhance collaboration, and avoid duplication of support.

² For example, GSP covers travel costs of experts and the non-Annex I Party covers the expert fee, or vice-versa.

4 Findings

4.1 Project strategy

53. As described in Chapter 3.1, GSP is supporting Non-Annex I Parties in meeting their reporting requirements under UNFCCC. As such, it is not directly leading to impact in relation to greenhouse gas emissions or climate resilience, nor is it directly leading to country level outcomes in terms of improved policy frameworks, reporting, or climate data collections. Rather, GSP is making an indirect contribution towards such results, by enhancing the capacities and knowledge of countries in terms of UNFCCC reporting requirements, how to set up appropriate institutional and technical arrangements, and how to ensure that the right technical knowledge is available for quality data collection, analysis and reporting. This is sought through a range of capacity development and knowledge management activities for Non-Annex I Parties, arranged mainly at the regional and national levels, but also at global level. In turn, having these capacities in place will not only enable countries to set up systems for the submission of quality reports in timely manner to UNFCCC, but it will also contribute to enabling countries to make evidence-based policy and strategic decisions and prioritisations and enhancing their ability to attract climate-financing. However, the extent to which GSP will lead to the intended results in terms of improved reporting and especially improved institutional setups and engagement of different sectoral ministries and institutions (mainstreaming) hinges on a number of factors at the national level (including at the policy/decision-making level), which GSP has little control over and limited capacity to engage in more deeply – unlike programmes with a more direct and continuous in-country presence over a specific time. Nonetheless, albeit outside GSP, UNDP and UN Environment are also directly supporting the Non-Annex I Parties in the elaboration of their National Communications and BURs through national-level “enabling activities” projects, also funded by GEF³.
54. Given the global nature of GSP and that it in principle supports the highly diverse group of 154 Non-Annex I Parties, it is unfeasible for the project design to respond specifically to the national priorities and development plans of all of these countries. But GSP is directly addressing a major constraint for Non-Annex I Parties in terms of meeting the evolving and increasing report requirements under UNFCCC, which in turn will also help them access climate financing. The project design also appears to be well in line with stakeholder interests and no stakeholders expressed major reservations about the project design. The global nature of GSP also made unfeasible to include national stakeholders directly in the design process, but an inception workshop was held in 2015 as a side event to COP21, thereby providing countries with an opportunity to getting acquainted with GSP and presenting their views and interests. The workshop had more than 60 attendants from developing and developed countries, international organisations, NGOs and academia.
55. As described in the CEO endorsement and UNDP ProDoc, GSP builds on the previous global GEF *National Communications Support Programme* (NCSP), which also provided support for the preparation of National Communications; the GSP design thus drew on

³ UNDP is supporting 65 countries and UN Environment is supporting 89 countries.

the NCSP lessons captured in a lessons learned report from 2013. NCSP was managed by UNDP, but UNEP was also part of the execution of the programme. GSP to a certain extent is a continuation of NCSP, but UN Environment was brought in as an implementing partner with its own fund allocation directly from GEF, since both agencies are GEF executing agencies for country-level enabling activities.

56. An important global development after GSP was designed is the decision to establish the Paris Committee on Capacity-building (PCCB). PCCB is intended to engage in the coordination and guidance of capacity development for countries vis-à-vis implementation of UNFCCC and the Paris Agreement and the related reporting requirements, and foster co-operation global, regional and national levels. Hence, the further development of the PCCB could well have bearings on GSP.
57. Similarly, the new GEF-funded Capacity Building for Transparency (CBIT) initiative, which is also implemented by UNDP and UN Environment among others, is focusing on building national capacities on transparency, which ultimately links to the national reporting and GHG inventories, thus with scope for synergies with GSP. CBIT operates mainly by providing grant support to countries, like the enabling activities, and there is thus scope for synergies with GSP (and a potential risk of duplication). The future evolution of CBIT could thus well have bearings on GSP. In UNDP, the synergy and coordination are facilitated by having GSP and CBIT managed by the same team. This is not the case in UN Environment, so here synergies depend on in-house coordination between different teams.
58. **Results framework:** The overall rationale and the expected outcomes and types of outputs and activities of GSP are clear and logical. Nonetheless, there are a number of inconsistencies in the results framework. Annex 11 provides a “faithful” Theory of Change diagram based on the results framework as it is presented in the CEO endorsement, the UNDP ProDoc, and elsewhere. Annex 10 provides a “reconstructed” Theory of Change, where the relationship of the different elements of the results framework has been analysed.
59. The four outcomes of GSP are not results at the same level. Outcome 1.1 (institutional arrangements) and Outcome 2.1 (enhanced capacities) are in reality lower level results feeding into Outcome 1.2 (NC and BUR data analyses available). Moreover, Outcome 3.1 (increased networking) is not truly an outcome in its own right, but very similar to Output 3.1.1 (regional exchange) and Output 3.1.3 (South-South cooperation) – activities, which are intended to feed into the national level outcomes of institutional arrangements (Outcome 1.1) and enhanced capacities (Outcome 2.1).
60. However, a more fundamental challenge for GSP is that it is well beyond the scope and mandate to ensure that the intended objective and outcomes as described in the results framework are achieved, since the achievement of these is mainly determined by processes and decisions at the country level; and by nature, GSP can only engage at the national level to a modest degree, and only in a limited number of countries. The only outcome that GSP has some level of control over is Outcome 2.1 (enhanced capacities –

“Countries are equipped with the understanding, technical basis and information....”), but even for this outcome, GSP will only be one contributing factor among a number of factors.

61. At the output level, a project is normally expected to directly control and deliver the outputs in its results framework, in other words, the project activities are expected to directly lead to the expected outputs. However, some of the outputs in GSP's results framework are beyond the control of GSP. Particularly evident examples of this are Output 1.1.2 (National climate change reporting systems and procedures established...) and Output 1.2.1 (Involve a greater number of Ministries and stakeholders in compiling NCs and BURs). To a lesser extent, this is also a challenge vis-à-vis Output 2.1.3 and Output 2.1.4, which aim at training national teams, whereas GSP in many cases only has trained selected members of national teams (e.g. in global workshops and online courses); the exception being the national level training workshops, which can reach more people in a given country.
62. In a context where GSP has little direct control over the achievement of its objectives, outcomes and even some of the outputs, the whole delivery hinges on major assumptions about processes at the national level. However, while this is to a good extent reflected in the risks identified in the results framework, the assumptions do not adequately capture this fundamental point. No risks or assumptions are identified at the objective level. Several risks are identified at outcome and output levels. However, no assumptions are identified at the outcome level and only a few assumptions are identified at the output level. Assumptions about the influence of different national contexts and of other programmes supporting readiness, incl. UNDP and UN Environment programmes could be added at the outcome and objective levels. Moreover, there are some issues with some of the risks identified:
- The risks for Outcome 2.1 are in reality risks at the output level
 - The risk identified for Outcome 3.1 is neither phrased as a risk nor as an assumption
 - Some of the risks identified are not truly risks, as they are either things, which GSP can fully control, or statements related to GSP's approach: This is the case for Outputs 1.1.1, 1.2.1 (second risk), 2.1.1, 2.1.4, 3.1.1, and 3.1.2.
63. The CEO endorsement, UNDP ProDoc, UNEP's Annexes to CEO Endorsement Document, and results framework do not provide any indicators, baselines or targets at the Objective level, but such were introduced in the 1st PIR report; these are measurable and measured, but the targets also contain unnecessary and somewhat lengthy narrative descriptions.
64. The outcome indicators and intended baselines outlined in the results framework are difficult or even unfeasible to quantitatively (and in some cases even qualitatively) measure and report on. No baselines have been established at the outcome level; the CEO endorsement, UNDP ProDoc and results framework indicates that a sample of ten countries will be identified and specified parameters will be assessed (during the inception phase),

but that sample was never established, and such a sample would also not be convincing, given the ad-hoc and request-based nature of support with little possibility of predicting the countries engaged in given activities. It is thus not surprising that the reporting in the PIRs on the progress on the outcomes are narrative descriptions mainly of related GSP activities and outputs rather than measurements of the progress on the indicators.

65. However, it is important to acknowledge that establishing a results framework with outcomes for which the contribution can be measured is inevitably very difficult, considering that GSP has no pre-selected programme countries or in-country presence, and that its support by nature is demand-driven, request based, ad-hoc, and short-term.

4.2 Progress towards results

66. It is very difficult to assess the progress and towards the intended results of GSP, as well as GSP's contribution towards their achievement due to a number of factors. GSP is intended to support 154 highly diverse Non-Annex I Parties, with a two small teams and limited resources. Hence, the participation in GSP is demand-driven and request-based – GSP is a facility available to countries, if they are interested. Hence, apart from the knowledge products produced, the participation of countries in GSP activities is largely ad-hoc in nature. This means that some countries participate actively in a number of GSP activities, but some countries only participate in a few short-term activities, and yet other countries do not participate at all. Nonetheless, 130 Non-Annex I Parties have participated in at least one GSP supported activity, so the overall outreach of GSP has been surprisingly extensive. Secondly, given the large diversity of countries, the objectives and outcomes may be achieved in some countries, but not in others. Thirdly, as described in chapter 4.1, the achievement of the outcomes and even some outputs cannot be attributed to GSP, since they are a result of many factors and mainly a result of national processes and contexts; and GSP is only one contributor, and usually not the primary contributor. In short, GSP is a service available to countries, and a service that is seen as helpful by those who have participated in GSP, but the change is ultimately country-driven. Finally, due to the shortcomings in the indicators and their monitoring (see chapter 4.1 and 4.3), the available information on the achievements of results is often anecdotal in nature.
67. Nonetheless, an overview of the progress and results vis-à-vis the objective and outcome indicators and the likelihood of the project achieving its end-of-project targets is presented in Annex 9. However, the assessment of progress against the intended objective and outcomes has a degree of uncertainty for the reasons described above. Moreover, the appropriateness of the outcomes specified in the results framework is questionable for measuring GSP performance due to the major difficulties of attribution and establishing GSP's contribution, with the possible exception of outcome 2.1.
68. **The objective**, *“improve the quality of Non-Annex I Parties’ NCs and BURs, so they are more widely used for national development planning, climate negotiations, and for funding low emission, climate resilient development projects, while they are also submitted to the UNFCCC in a timely manner”* will **very likely be achieved** before GSP completion in mid 2020. The target is to have BUR's submitted by 80 countries, and by mid 2017, 36

countries had submitted their first BUR and 6 countries their 2nd BUR, compared to only 10 submitted BURs in December 2014. The target of 150 countries having submitted their 2nd NC and 50 their 3rd NC is like to be exceeded, with 126 countries having submitted their second NC, 38 countries their 3rd NC, two countries their 4th NC, and one country its 5th NC as of June 2017. GSP has undoubtedly made a contribution to this progress for selected countries (those who have participated in GSP activities or used GSP knowledge products), considering the overall level of activity of GSP and the widespread satisfaction among interviewed stakeholders at national, regional, and global levels. However – and not surprisingly, considering the modest size GSP and the large scale of the objective – other factors, including the in-country enabling activities as well as support from other donors, have combined played a bigger role than GSP.

69. The progress towards achieving the objective is rated as **satisfactory**.

70. **Outcome 1.1**, “*Sustainable national institutional arrangements for climate change reporting established in Non-Annex I Parties*” does not have an established sample for assessing progress against its targets, but considering that many or most countries reportedly still struggle with setting up solid institutional arrangements, let alone arrangements with broad representation of relevant sectors; this outcome is thus **likely to be achieved** by some (but not all) countries reached by GSP, due to a range of factors which are outside the control of GSP.

71. GSP has, however, paid significant attention to this central challenge; all GSP workshops have had sessions on solid institutional arrangements and broad stakeholder participation), aimed at promoting enhanced mainstreaming of climate change across sectors. Moreover, GSP elaborated a gender toolkit, the “*Gender responsive national communication toolkit*”, which is available in English, Spanish, and French – and GSP arrange a regional meeting on integration of gender considerations in MRV and transparency processes for the Western Balkans and organised a side-event on gender in NCs at COP22. GSP is thus raising awareness and enhancing skills on gender integration in the climate monitoring and reporting; and area which reportedly is receiving little attention from other programmes.

72. The progress towards achieving the Outcome 1.1 is rated as **moderately satisfactory**.

73. **Outcome 1.2**, “*NC and BUR data and analyses available and used by a greater number of government ministries and provincial resources managers for planning purposes*” does not have an established sample for assessing progress against its targets. However, anecdotal evidence suggests that use of the NC and BUR data for domestic planning purposes remains limited. Such data may be captured in national climate change strategies, but its use in sectoral and sub-national planning appears less common. Hence, the outcomes appears **unlikely to be achieved** except in some countries, due to a range of factors which are outside the control of GSP.

74. Nonetheless, GSP has promoted an understanding among participating countries of the

value that the information in BURs and NCs can also have for domestic planning and priority-setting, and that the BURs and NCs should not merely be seen, and used, as reporting to the UNFCCC, but rather as tools for evidence-based decision-making for mitigation and for enhancing climate resilience. This point has been emphasised in all GSP workshops, as well as in bilateral discussions with countries; and GSP has also supported countries in strengthening the communication of the NCs and BURs.

75. The progress towards achieving the Outcome 1.2 is rated as **moderately satisfactory**.

76. **Outcome 2.1**, *“National Teams are better able to apply UNFCCC reporting guidelines for the preparation of National Communications and Biennial Update Reports and countries are equipped with the understanding, technical basis and information needed to identify, prepare, consult and communicate nationally determined contributions to the UNFCCC 2015 agreement”* does not have an established sample for assessing progress against its targets. However, capacities have reportedly improved, as can be seen the increase in submissions and in particular in the fact that a number of countries have moved from the 1996 to the 2006 IPCC guidelines for GHG inventories. The outcome is thus **likely to be achieved** by several (but not all) countries reached by GSP.

77. GSP has consistently supported this and promoted the use of the 2006 IPCC guidelines. Thirteen regional workshops (with 116 countries, each participating in between one to four workshops), 14 national level workshops (in 12 countries), and six webinars were arranged, co-arranged and/or co-funded by GSP and provided participating countries with knowledge in how to establish GHG inventories and prepare NCs and BURs. Moreover, GSP financed the participation of 65 participants (from 28 countries) in two inter-linked online courses on the IPCC 2006 Guidelines⁴. The GSP staff also participate as resource persons and invited speakers in events arranged by other entities. Stakeholders interviewed uniformly expressed an appreciation of the GSP managed/supported workshops and trainings, in terms of relevance, quality, and utility.

78. However, it is difficult to ascertain the extent to which the participation in one-off workshops and the knowledge imparted actually leads to tangible improvements and changes at the country level, as this requires post-workshop monitoring and follow-up (and GSP therefore intends to increase its focus on regional MRV networks and training of trainers). Moreover, the application of the knowledge gained ultimately depends on several factors, such as whether the country sent the right person to participate, whether the participant operates in a domestic institutional setting that is conducive and allows the application of the skills gained, whether short term trainings are sufficient, whether more long-term engagement is required to sufficiently enable the participant to absorb and implement the knowledge and approaches promoted, and whether the participants stays in her/his job or moves to a new job.

79. Furthermore, GSP has also financed guidance materials, namely: a) the above-mentioned

⁴ 8 participants completed one course, and 11 participants completed both courses – interviewees report they could not complete the courses due to workload or due to poor internet connectivity.

gender toolkit and b) the elaboration (in cooperation with the UNFCCC Secretariat) and translation of UNFCCC guidelines “*Guide for Peer Review of National GHG Inventories*”, “*2006 IPCC Guidelines for National Greenhouse Gas Inventories: Primer*”, “*CGE Training material on GHG Inventories*” from English into other UN languages. Five national case studies on the experiences with GHG inventories and institutional arrangements have also been prepared. Twenty-eight brief infographics have also been prepared (22 are available on the GSP website⁵), e.g. on NC, BUR, MRV, and gender mainstreaming. To facilitate access to information for Non-Annex I Parties, GSP has established a website, with various resources, such as GSP written products and workshop documentation, guidelines and tools, news and articles, an expert roster, and news and articles. The website has in May 2017 – April 2018 had 2,000 visitors coming from most countries in the world. Some interviewed country representatives find the website a useful tool for accessing technical guidance materials.

80. GSP has assisted 32 countries in reviewing 25 GHG inventories, 10 NCs, and two BURs; support that was very appreciated by interviewed country representatives/participants. GSP has also provided support for countries on INDC; GSP has since March 2017 funded an online INDC helpdesk to which countries can submit questions (which has reviewed 2000 visits but so far only responded to six questions), four countries have received more in-depth medium-term support on INDC⁶, and inputs have been provided for a guide on NDC implementation. Interviewed country representatives report that the reviews have been very helpful in terms of identifying gaps and shortcomings, which could then be rectified prior to submission to UNFCCC.
81. Moreover, GSP has responded to ad-hoc requests for short term support from countries. 16 countries have so far been supported, mainly in the review of ToRs for technical expert inputs in relation to GHG inventories and inventory reports, NCs, and BURs. GSP also has established a roster/pool of experts (e.g. regional experts) and uses it to help countries in the identification of qualified experts, based on requests – the roster is available on the GSP website and has received 419 visits as of 2 April 2018. GSP also responds to queries countries send by email, e.g. responding to specific questions or recommending relevant experts. The general responsiveness of GSP is widely appreciated by countries and international partners.
82. UNDP and UN Environment are both members of the UNFCCC Consultative Group of Experts (CGE); represented by their respective GSP managers. GSP is cooperating closely with the CGE and the UNFCCC Secretariat, and through co-financing and/or co-managing regional and online training workshops (e.g. on GHG inventories and institutional setup), GSP is augmenting the implementation of their work programme of supporting Non-Annex I Parties. The UNFCCC Secretariat and GSP have also jointly elaborated a Guide for Peer Review of National GHG Inventories. The UNFCCC Secretariat and CGE have limited financial resources and comparatively long procurement procedures, and GSP has been instrumental in ensuring the delivery of their work programmes due to a combination of

⁵ <http://www.un-gsp.org/infographics>

⁶ Dominican Republic, Ethiopia, Sierra Leone, South Sudan

additional resources, more procurement flexibility (e.g. in the recruitment of consultants), and inputs to the planning and management of joint activities. Moreover, GSP provided co-financing for, and participated in, a joint GSP/UNFCCC Secretariat voluntary GHG inventory peer reviews in Ghana and Belize; this exercise was found very useful by Ghana and helped with the preparation of an improvement plan. The UNFCCC Secretariat and GSP will replicate the voluntary peer review in other countries. Moreover, through the contact with the global managers of the enabling activities and countries, GSP is providing the CGE and UNFCCC Secretariat with a link to, and feedback from, the national level, which is more at the technical level than the political-level link with the UNFCCC National Focal Points.

83. GSP has also engaged in several other partnerships; indeed, partnerships are a central feature of GSP's implementation strategy and most activities are implemented with partners. The key partnerships include: a) partnerships with governments of Non-Annex I Parties for country level activities; b) the Singapore and Australia for regional activities in Southeast Asia; c) Brazil, GIZ and Belgium for activities with Lusophone countries; and e) Chile, Argentina and GIZ for regional activities in Latin America. The rationale behind these partnerships are to achieve synergies, maximize the value and outreach of financial resources, and to coordinate and avoid duplication and conflicting messages.
84. Annex 14 provides a detailed overview of GSP activities and partnerships.
85. As mentioned above, 130 Non-Annex I Parties have participated in at least one GSP supported activity⁷; of these, 44 countries were LDCs (out of a total of 47) and 28 were SIDS (out of a total of 38) (see Annex 13)⁸. In other words, GSP has reached 84% of all Non-Annex I Parties, 94% of all LDCs, and 74% of all SIDS, so there has been a good representation of LDCs and SIDS. So overall, the outreach to especially LDCs but also SIDS has been good (which is contrary to the general perception of interviewed stakeholders), although most GSP activities have not had a specific LDC/SIDS orientation. A *"Workbook for National Greenhouse Gases Inventory Development for Small Island Developing States and Least Developed Countries"* is planned in cooperation with the UNFCCC Secretariat.
86. The progress towards achieving the Outcome 2.1 is rated as **satisfactory**.
87. **Outcome 3.1**, *"National and/or regional climate change information networking enhanced"* does not have data collected to assess the achievement of the target, but GSP has already enhanced networking at the regional level, so the **outcome could be regarded as achieved**, although there is still significant scope for further consolidation, deepening, and expansion. GSP has supported the establishment of three regional networks:
- RedINGEI – the Latin American Network on National GHG Inventories. This network was initiated by Chile and established with financial support from GSP. GIZ

⁷ Each country has participated in 1-6 GSP activities, the average being participation in 2.58 activities.

⁸ The average participation of LDCs was in 3.09 activities and the average participation of SIDS was in 2.50 activities.

(the Information Matters project) co-financed the first meeting. GSP assists with: a) funding the network coordinator, b) providing inputs to the establishment of annual strategic priorities for the network, c) arranging the logistics of RedINGEI regional meetings, and d) contributing to the meeting programme preparation. RedINGEI has with financial support from GSP also arranged national level training in Paraguay.

- West African Network on MRV. This network is a collaborative effort between GSP and the UNFCCC Secretariat. The two entities are co-funding a UN Volunteer based at the UNFCCC Regional Cooperation Centre (RCC) in Lomé, an MRV expert, who facilitates sharing and exchange between the West African countries through workshops, newsletters and email discussions.
- Lusophone network on MRV. This network is jointly supported by GSP, GIZ, and Belgium, and with expert inputs from Brazil. It is bringing together Portuguese-speaking countries in Africa, East Timor and Brazil for experience sharing. Stakeholders in Lusophone countries have a challenge with UNFCCC related guidelines, such as the IPCC GHG inventory guidelines since they are only available in official UN languages, not in Portuguese. GSP has played a key role in the process facilitation. The network is now with financial support from GSP translating key sections of the CGE materials into Portuguese – based on a request from São Tomé e Príncipe.

88. GSP and the UNFCCC Secretariat are planning to further expand their regional network approach with new networks:

- Caribbean Network on MRV. Initial steps have been taken to establish this regional network. But the network is not operational yet; a proposal for funding has been submitted.
- East and Southern Africa Regional Network on MRV. An inception workshop was held on 28-30 May 2018.
- Central Africa Regional Network on MRV. An inception workshop is planned on 15-18 October 2018.
- North Africa Regional Network on MRV. An inception workshop is planned for 2018.

89. The regional workshops also provide countries with opportunities to share experiences and learn from each other. Moreover, GSP has in some national capacity building workshops brought in experts from other countries in the same region to bring experiences from their countries; an example is a national training workshop in Paraguay, where GSP funded experts from Chile and Argentina. Another example is a national workshop in Sierra Leone arranged by the UNFCCC Regional Cooperation Centre, where GSP funded the participation of experts from Ghana and Senegal.

90. The peer-to-peer learning and experience sharing that takes place in the regional networks and also at the regional (and national) workshops, is a contribution of GSP that is particularly appreciated by both country representatives and international partners in-

interviewed, and a significant success for GSP. Indeed, many view it as the single-most important value added by GSP. Interviewees have provided the following tangible examples of the benefits they have realised from the peer-to-peer learning and sharing:

- Togo got inspired by Cote d'Ivoire to submit a CBIT proposal.
- Togo got a clearer understanding of their MRV system needs from Ghana's MRV experience.
- Ghana became aware of a relevant study from Benin on enteric methane with data applicable for Ghana, so that Ghana does not need to carry out its own study.
- Argentina and Uruguay developed archiving and record-keeping systems for BUR inspired by Chile.
- Argentina developed a platform for information sharing, inspired by Colombia
- Uruguay is elaborating booklets for communicating GHG Inventory information, inspired by Colombia and Argentina.

91. GSP is also in partnership with the UNFCCC Secretariat facilitating coordination and information-sharing among donors and technical agencies engaged in MRV support – the Group of Friends on MRV and Transparency. The network members meet at the margins of UNFCCC events (COPs and SBSTA meetings) to share information about their planned activities, this has in a few cases helped preventing overlaps and duplication. This has, for example, enabled GSP and others to coordinate their training workshops and avoid duplication, and also enabled the members to provide inputs to each other's workshops. Similarly, GSP is co-funding the CBIT Global Coordination Platform meetings.

92. The progress towards achieving the Outcome 3.1 is rated as **highly satisfactory**.

93. **Remaining barriers to achieving the project objective:** While there has been progress against the GSP objective, some important constraints remain: GSP has little influence over these, other than awareness raising and capacity building; which GSP is already doing. The barriers can vary significantly between regions and among countries. However, common barriers include: Remaining capacity constraints that still need to be addressed; high staff turnover in government agencies where people trained (e.g. on NC/BUR) leave for new employment (e.g. in the private sector); insufficient political awareness and priority to establishing strong institutional and cross-sectoral structures for GHG monitoring and reporting; and lack of awareness of the domestic potential and value of GHG inventories for development planning. However, some stakeholders find that GSP could move beyond the technical level and engage more at the political level, and e.g. use its presence at UNFCCC SBSTA meetings and UN Environment General Assemblies to seek to influence senior country representatives.

94. At the activity level, it can be difficult to ensure that governments nominate the right technical people for workshop attendance, and to ensure continuity in the participation on GSP activities. Nonetheless, GSP is doing concerted efforts to encourage and guide countries to nominate relevant participants, with some good results. However, the extent to which one-off training workshops are effective in terms of enabling countries to

adequately absorb knowledge and implement it remains an unanswered question.

95. Some interviewees highlight that there are some critical areas, where they would need further support, such as tracking and reporting on adaptation measures and tracking policy/political actions and how they relation to GHG emissions.

4.3 Project implementation and adaptive management

96. **Management Arrangements:** The PAC initially met annually, but now meets twice annually (in February and September), with some members participating over video-link/Skype. The meeting provides overall guidance on priorities for the project implementation. For the UNFCCC Secretariat and the GEF, the PAC meeting also serves as an opportunity to get information on developments at the country level vis-à-vis GHG inventories and UNFCCC reporting. However, due to time constraints, the PAC is unable to go more deeply into detail on management and interagency coordination. For that reason, UNDP and UN Environment introduced monthly distance meetings for the two agencies, with participation of the two GSP managers and their respective supervisors. This allowed the two agencies to discuss specific implementation and coordination issues, but the meetings have since been discontinued due to staff movements in UN Environment, leaving the GSP manager temporarily without a direct supervisor.
97. GSP in both agencies cooperate closely with the global programme staff overseeing the GEF funded in-country enabling activities. The enabling activities programme staff links countries to GSP for specific support needs, such as review of NCs, BURs or GHG inventories, review of ToRs, or identification of consultants. This linkage is often the starting point for national level workshops. However, while UNDP Country Offices are supporting the countries in their day-to-day implementation of their enabling activities the link between them and GSP is often more limited, and mainly related to handling payments at the country-level, albeit with some cases of a more substance-related engagement.
98. **Roles of each agency:** Within GSP, there is no strict division of labour between UNDP and UN Environment, although there is somewhat a tendency of UNDP working more in Asia and Latin America and UN Environment in Africa; which is linked to the fact that most African countries have chosen to cooperate with UN Environment on their NC/BUR enabling activities and most Latin American countries have chosen UNDP, albeit the picture is more mixed in Asia. Nonetheless, there are differences in the GSP activities of the two agencies, with the following general trend as of mid 2018:
- Mainly UNDP led/implemented/initiated/facilitated: Regional workshops and events, COP side events, joint activities with the UNFCCC Secretariat/CGE and international partners, support for the establishment of regional networks, facilitation of MRV coordination (Friends of MRV), review of GHG inventories, gender integration, elaboration of infographics, GSP website, online webinars and training.
 - Mainly UN Environment led/implemented/initiated/facilitated: Responding to ad-hoc requests for short-term support (e.g. TOR review), review of NCs, translation of IPCC guidelines, INDC support, resource person in regional training workshops.

- Similar level of engagement of both agencies: National workshops, Regional MRV Networks (incl. the planned UNEP engagement in the establishment of new networks), expert roster, country case studies, country online surveys.

99. Hence, it is the impression of the MTR that the two agencies do assume roles, which are in line with the intended roles in the CEO endorsement, with UNDP having a programme management and process facilitation role and mobilising external technical expertise, and UNEP having more of a technical expert/advisory role with the GSP manager carrying out technical work himself. However, since the two agencies are to a large extent implementing separate sets of activities under their separate budgets, the potential synergy and mutual reinforcement between these two roles are not fully achieved. Nonetheless, UN Environment is in general (not only for GSP) benefitting from the in-country presence of UNDP in terms of (paid for) logistics support from UNDP Country Offices, such as in-country payments, follow-up on venue reservation, and security information.

100. Indeed, from an implementation perspective, GSP is largely functioning as two separate projects – albeit two projects that do coordinate their work plans, cooperate on certain activities, and share information. However, while coordination efforts have been made both formally through the PACs and joint work plans and informally through meetings between the two agencies and direct communication between the two GSP managers, coordination has at times proven a challenge. Joint planning and implementation of specific activities where the comparative strength of each agency is utilised appears to have taken place only to a limited extent. The majority of activities have been planned implemented by one agency, although the GSP manager of other agency has on a number of occasions participated as workshop participant or presenter, or funded participants from some countries. e.g. through participating and sometimes presenting in workshops arranged by the other agency or funding participants from some countries.

101. UN Environment's overall level of activity delivery in terms of workshops and trainings has been somewhat low, with more emphasis given to review of NCs, revision of ToRs for experts, and participation as resource person in events and workshops (see annex 14). The somewhat modest level of activity is partly explained by the later implementation start for UN Environment. Moreover, the use of external consultants and partners by UN Environment is quite low; GSP delivery and technical inputs to a large extent are delivered by the UN Environment GSP Manager. A challenge for the UN Environment GSP manager is difficulty in getting approval to attend meetings that happen at the margins of the COPs and SBSTA meetings. As a result, the manager has been unable to participate in a number of the MRV Group of Friends meetings.

102. **Work planning:** The project start was significantly delayed, due to delays in the recruitment of the GSP team. While the CEO endorsement was on 30 April 2014, the UNDP project signature date was on 2 May 2015 and the UN Environment approval date on 15 September 2014, the UNDP GSP Programme Coordination assumed work in September 2015, and the UN Environment GSP Programme Management Officer assumed work in March 2016, giving an initial four months delays with UNDP and ten months delay with

UN Environment. The main reason behind these delays is the lengthy recruitment procedures with both agencies.

103. Each agency elaborates an annual work plan, these are then combined into a single, coordinated annual work plan for GSP. The work plans are aligned with the CEO endorsement, UNDP ProDoc and results framework, but they are also primarily activity and output focused, rather than being results-based/outcome oriented. This is not surprising, considering the significant challenges and shortcomings with the outcomes, indicators and targets described in chapter 4.1. The work plans provide annual targets at the activity level, but not at the output level. Neither the work plans nor the PIRs provide an overview of programme delivery compared to the output targets.
104. Moreover, no milestones are available for the outcomes or outputs in the CEO endorsement, UNDP ProDoc, UNEP's Annexes to CEO Endorsement Document, and results framework, only end-of-project targets. The results framework does not specify the activities to be implemented (although the CEO endorsement and UNDP ProDoc narratives do specify some activities for some of the outputs). Hence, the only guidance the CEO endorsement, UNDP ProDoc and UNEP's Annexes to CEO Endorsement Document provide for the work planning is to specify the outputs that GSP should work towards and an incomplete set of indicative activities. It is noted that no revisions have been made to the results framework, despite its limited utility as a management tool.
105. At the end of each year, a useful review/comparison of work plan activity targets and the actual activity delivery is compiled. This provides a good overview of the extent to which activity targets have been met fully or partly, or even exceeded – or whether activities have been delayed/postponed.
106. These reviews show that delivery in 2016 and 2017 against the work plans was generally good – especially in 2017, with targets being fully achieved for a number of the planned activities, and that activity targets in some cases have been exceeded – although some activity targets were only partly achieved, and other activities were postponed altogether.
107. What is not fully captured in the work plans is that GSP has been very responsive to requests for support and emerging opportunities. Both countries and international partners are highly appreciative of the flexibility, responsiveness, and quick reaction time of GSP.
108. **Finance and co-finance:** GSP financial management is handled by each agency according to its procedures, and subject to auditing in accordance with these. These procedures have already been vetted by the GEF. However, while both agencies are UN agencies, UNDP uses the ATLAS financial management system, which provides a component/outcome-based breakdown of expenditure, whereas UN Environment uses the UMOJA financial management system, which currently does not provide such a breakdown.

109. As mentioned earlier, both agencies have access to using UNDP Country Offices for the processing of in-country payments. This generally works well, although the use of two different financial management systems is somewhat complicated when it comes to UN Environment payments, and reportedly, UNDP Country Offices are sometimes tardy in the financial reporting to UN Environment.
110. The extensive use of partnerships where many GSP activities are implemented and co-financed jointly with partners, generally enables GSP to implement cost-effectively, and enables GSP to engage in a large number of activities compared to its budget. The use of UN Volunteers is another cost-effective measure, which e.g. has enabled UNDP to engage more deeply in the West African MRV Network.
111. Annex 12 provides a detailed overview of planned versus actual spending by each agency. It is noted that the spending of both agencies is low. Part of the explanation of the underspending appears to be that the annual budget allocation is largely the same for each year, whereas project spending typically has a more exponential curve with low initial spending. Another reason is the significant delay both agencies had in recruiting GSP staff, which effectively postponed de-facto start date of GSP.
112. A positive factor contributing to the lower than expected spending is cost-effectiveness, e.g. through the mobilisation of resources from partners, thereby reducing the costs for GSP.
113. UNDP: As of April 2018, UNDP had spent 37 per cent of its budget. UNDP spending was lower than the initial budget allocation for the first three years; this is not surprising giving the delayed recruitment of the GPS Coordinator, and resulting delays in implementation start. UNDP made three budget revisions with small reallocations between outcomes, whereas the main changes were carry-over of unspent funds to later years. Approximately 2.5 years into effective implementation, 91 per cent of the budget initially planned for the first two years of implementation was spent. Spending on Outcome 2.1 was largely on target (100% of the first 2 year's budget spent in 2.5 years), whereas spending on Component 1 (Outcome 1.1 and 1.2), was below target (82%). Spending was in particular below target for Outcome 3.1 (63%) but spending on this component is expected to increase significantly as the current regional networks mature and new networks are initiated. A significant acceleration of spending would be required if the remaining budget is to be fully spent before the UNDP closing date (1 May 2020), which may prove a challenge.
114. UN Environment: As of April 2018, UN Environment had spent 26 per cent of its budget. It is noted that the total budget⁹ and component/outcome allocation in UNEP's Annexes to CEO Endorsement Document deviate from the allocation in the CEO Endorse-

⁹ The total budget in UNEP's Annexes to CEO Endorsement Document corresponds to an earlier draft GEF allocation for GSP, which is lower than the actual GEF grant.

ment. UN Environment made three budget revisions, with some minor reallocations between budget lines, whereas the main change was a postponement of the budget years due to the delayed de-facto project start. Overall, spending by April 2018 was at 54 per cent of the expected spending up till 2017. It is impossible with the data available to compare the actual spending versus expectations per Outcome. However, it is noticeable that the spending by April 2018 on all GSP components/outcomes is significantly below the total component allocation in UNEP's Annexes to CEO Endorsement Document. One reason is that staff costs are exclusively booked under "project management" and does not reflect the staff time spent on the delivery of the outcomes. The low spending is thus reflecting that UN Environment is relying mainly on the in-house expertise of the GSP Manager rather than consultants for technical inputs, and hence activity spending is lower. However, this is not the full explanation, another part of the explanation is also the somewhat low number of workshops and trainings that have been led by UN Environment. Nonetheless, spending can be expected to pick up in the remaining programme period, for example when the planned UN Environment facilitated regional networks become operational. Nonetheless, full utilisation of the budget Would require a major acceleration of spending, if the remaining budget is to be fully spent before the UN Environment closing date (August 2020) and could prove difficult.

115. Co-financing: Given the global nature of the GSP and the fact that many countries have participated to different degrees in GSP, it would be challenging to quantify and verify the co-financing from national governments. Nonetheless, there is no doubt that participating countries as anticipated at CEO endorsement have provided in-kind co-financing in terms of staff time. Moreover, there has also been a cash contribution from participating countries, especially in relation to national-level workshops, where the benefiting countries have been asked to cover various costs, such as venue, consultant fees, local transport, travel and per diem for Government staff, translation, and hospitality. For example, for a workshop in Mauritius, the reported cash contribution from the Government was USD 13,220 and for a workshop in Mongolia the reported contribution was USD 9,333. The cash co-financing in particular helps ensuring full country ownership.
116. Moreover, Brazil, Singapore and Chile have provided in-kind contributions to the joint regional activities described earlier. This co-funding has been strategic, as it has strengthened the link to the regional level, mobilising Non-Annex I Parties to engage in capacity building reaching beyond their own needs.
117. However, a perhaps more significant amount of co-financing, which was also not foreseen at CEO endorsement, are cash and in-kind contributions from international partners for joint workshops and activities, including the UNFCCC Secretariat, and various bilateral donor agencies. Again, the total amount of co-financing from different partners for multiple activities is impossible to quantify. This co-financing has been very strategic, as it has both enhanced the outreach of GSP and also helped forging strategic partnerships and proximity to the global UNFCCC processes.

118. UNDP: According to UNDP's co-financing letter, UNDP would provide cash co-financing. However, this co-financing should in reality have been labelled as in-kind; as it comprised: a) technical advisory from the UNDP Low-Emission Capacity Building (LECB) Programme Manager; b) the results of the greenhouse inventory systems developed under LECB; and c) monitoring and supervision. In practice, LECB supported 15 countries on inventory systems, but LECB is now closed so further co-financing from LECB will not materialise.
119. UN Environment: UN Environment's confirmed co-funding was in-kind and comprised: a) UNON administrative services; b) UN Environment non-GEF funded staff time; and c) UN Environment Programme of Research on Climate Change Vulnerability, Impacts and Adaption (PROVIA) inputs to vulnerability and adaptation training programmes. However, in practice, the cooperation with PROVIA has so far not materialised, so the main co-financing realised is related to a) and b) above.
120. An estimate of the co-financing expected and the co-financing realised is presented below:

Sources of co-financing	Name of co-financier	Type of co-financing	Amount confirmed at CEO endorsement (US\$)	Actual amount contributed at stage of MTR (US\$)	Actual % of expected amount
GEF/UN agency	UNDP	Cash	450,000	385,000*	86%
GEF/UN agency	UNEP	In-kind	450,000	188,784**	42%
National government	130 Non-Annex I Parties	In-kind	900,000	Significant, but not quantified for all participating countries	
		Cash	0		
International institution	UNFCCC Sec., GIZ, Belgium, Australia	Cash	0	Significant, but not quantified for all partner agencies	
		In-kind	0		
		TOTAL	1,800,000	Not quantified	
* Estimate provided by UNDP					
** Estimate provided by UN Environment					

121. **Project-level monitoring and evaluation systems**: As described in chapter 4.1, objective indicators are monitored. Moreover, GSP uses annual online surveys/questionnaires to identify key bottleneck and challenges faced by the countries. This monitoring is very useful, as it does provide a clear picture on the global progress on NC and BUR reporting and GHG inventories; hence providing information on where GSP and other initiatives should turn their attention/focus, from the perspective of Non-Annex I Parties. But monitoring at this level does not yield information that can be directly linked to GSP's progress and performance.
122. The indicators established at the outcome levels are inappropriate and are not monitored or reported on. Moreover, as described earlier, the output indicators/targets are also not monitored. The delivery against activity targets in the annual work plans is assessed and reported on at the end of each year.

123. While GSP does collect and keep data on the participants in each training, GSP does not report and analyse aggregated data on the number of people trained, nor does it report gender-disaggregated data on overall workshop or online training participation. Moreover, while GSP keeps data on the countries reached by individual GSP activities (e.g. the countries represented at a given workshop), this data is not analysed. The implications of this lack of data analysis is demonstrated by the widespread misconception among stakeholders that GSP has not been very good at reaching LDCs and SIDS, whereas in reality, GSP has been quite successful in reaching these countries (see paragraph 86).¹⁰
124. Monitoring is carried out by the GSP team, thus requires few financial resources. Given GSP's global coverage and mainly short-term and ad-hoc engagement with countries, there is limited scope for establishing a comprehensive monitoring framework.
125. **Stakeholder engagement:** The primary stakeholders in GSP are: a) relevant technical staff from Government agencies of Non-Annex I Parties, b) the CGE and UNFCCC Secretariat, and c) international agencies supporting countries in NC, BUR and GHG inventory development and reporting.
126. Non-Annex I government staff are engaged and heard through: a) annual surveys to identify their challenges and support needs, b) the opportunity to approach GSP and request ad-hoc support – stakeholders find GSP very responsive, c) opportunities to engage in peer-to-peer learning through regional networks, workshops and peer reviews, d) and joint planning and management of national-level workshops and in some cases regional-level activities (Brazil – Lusophone cluster, Chile – RedINGEI, Singapore – Southeast Asia workshops). Non-Annex I Parties are represented in the PAC through the CGE representative. GSP has also promoted increased participation of women in NC, BUR and GHG inventories through its gender guidelines and workshops.
127. The CGE and UNFCCC Secretariat are directly engaged in the identification, planning and implementation of joint activities. Moreover, both entities are members of the PAC, which is chaired by the UNFCCC Secretariat, thereby having direct influence on the strategic direction of GSP.
128. Other international agencies are participating through: a) the identification, planning and implementation of joint activities, and b) coordination of activities, which allows both them and GSP to align their work and influence each other.
129. **Reporting:** The PIRs present an account of implementation progress and activities delivered, and performance self-assessments. The responsibility for compiling the PIR alternates between the two agencies (with inputs from the other agency). Risk management is covered to a light extent, due to the low level of risk associated with this global capacity-development initiative. Implementation challenges and strategic concerns are

¹⁰ Basic activity data and information was compiled upon request of the MTR (see annex 14), and the MTR has from this established a list of the countries reached (see Annex 13).

only captured to a limited extent. Lessons learned are not captured, but it is acknowledged that lessons will mainly emerge when GSP has advanced more in its implementation. The quality of reporting in 2017 (i.e. the 2017 PIR report) was rated as moderately unsatisfactory by the external reviewer engaged by the UNDP-GEF Unit.

130. **Communications:** As described earlier, stakeholders and partners generally find GSP very responsive, and the lines of communication to partners work well. GSP communicates directly with partners and stakeholders when they meet at events, through frequent emails, and international partners are also communicated with during coordination meetings, e.g. under friends of MRV.
131. External outreach is done through the GSP website, GSP infographics, and side-events arranged at the margins of COPs. Moreover, the GSP staff also create awareness about GSP when they participate in events arranged by other entities.
132. GSP also aims at creating knowledge and capacities in countries to better communicate the value of GHG inventories for domestic planning and making the GHG data more readily available to a broader audience.
133. However, it should be kept in mind that GSP has a rather specific audience, namely those involved in the technical work and in setting up institutional arrangements related to NC, BUR, and GHG inventories. Since the link from GSP to tangible impacts is indirect and not easily quantified, GSP is less easily communicated to the political level, and the broader public.
134. **Project implementation and adaptive management** is rated as **satisfactory**, see the table below for a detailed explanation of the rating.

	Status	Rating*
Project Implementation & Adaptive Management	<ul style="list-style-type: none"> • Delayed implementation start • Generally efficient and effective project management, but opportunities for synergies and mutual reinforcement between the two implementing agencies are missed, due a setup as two separate projects rather than one programme • Strategic use of partnerships • Appropriate, but activity-focused work plans, without reflections on the achievement of outcomes • Cost-effectiveness, but spending is below targets (especially for UN Environment), partly due to a combination of delayed start-up, budget not reflecting the normal exponential spending curve for projects, cost-savings • Monitoring does not capture GSP outcomes, but mainly a) activities, and b) global NC/BUR/GH inventory development • Good degree of stakeholder engagement 	Satisfactory (S)

	<ul style="list-style-type: none"> • Reasonable reporting (PIRs), but challenges superficially covered • Good effort paid to outreach and communication 	
*See Annex 3 for the rating scale applied		

4.4 Sustainability

135. **Risk management:** Sixteen risks have been identified in the GSP results framework and four risks are presented in the risk log of the UNDP ProDoc. Surprisingly, only one of these risks is presented in both the GSP results framework and the UNDP risk log, namely staff turnover. The impact, intensity and probability have been assessed, and counter-measures have been identified in the risks in the risk log, but not for the risks in the results framework. The risks in the risk log are briefly considered in the PIR but are viewed as being negligible, and thus not monitored in detail. Brief annual updates on the in the UNDP ProDoc risks are registered in the ATLAS risk log. However, the risks in the results framework are not being monitored.

136. Most of the risks identified in the Risk Log are in reality not risks for GSP delivery, but rather issues that GSP specifically seeks to address or help countries address. The only risk in the risk log which has direct bearings on the GSP delivery is “high staff turnover” as the investment in training people is redundant if they do not continue in a job where the skills imparted at used to improve NCs, BURs and/or GHG inventories – this is a widespread and real problem.

137. The key risks have been identified in the results framework, the MTR team has not found any major risks, which have not already been identified. But there are weaknesses with some of the other risks identified in the results framework, see chapter 4.1.

138. Annex 15 provides a detailed assessment of the risks identified in the risk log and the results framework.

139. **Financial risks to sustainability:** At the country level, the continued implementation of the knowledge and skills imparted by GSP, and the overall robustness of the GHG inventories and the NC/BUR reporting, depends on continued financing. The risk here is that Non-Annex I Parties face financial constraints and competing needs for funding. It is thus likely that many countries will remain dependent on donor funding for the short-medium term.

140. For the continuation of GSP, and in particular of the processes initiated by GSP (especially the regional networks) will depend on continued donor funding, since it is very unlikely that countries themselves can/will fully cover the costs of regional-level services. Given the close link to the enabling activities, it appears somewhat unlikely that funding for GSP can be mobilised from bilateral donor agencies. Hence, the continuity will likely depend on GEF funding.

141. **Socio-economic risks to sustainability:** The socio-economic risks to GSP’s results is entirely at the country-level and thus also country-specific. Political priorities may

change, which in turn may affect the interest in investing in GHG inventories and reporting, as these are technical endeavours with limited political attraction. Political changes and interests may also lead to institutional changes, which could jeopardise the national institutional GHG inventory and NC/BUR reporting setup.

142. GSP captures national lessons and best practices in national case studies made available on the GSP website. But lessons from the GSP implementation itself are currently not captured and documented.

143. **Institutional framework and governance risks to sustainability:** This is the main area of risk for GSP at the country level, since a robust and conducive institutional and policy framework is central to building up quality, timely and sustained GHG inventories and NC/BUR reporting. It is also central to ensuring that the knowledge and skills imparted by GSP are transferred domestically to other Government staff members. The inventory and reporting are basically tools for transparency and informed decision-making, which some political leaders and influential people may have an interest in hampering. Some countries have a conducive institutional and policy framework in place, whereas other do not. The setting up of regional networks may help reducing this risk, as they can serve as platforms for South-South transfer of knowledge.

144. **Environmental risks to sustainability:** Given that GSP is working at the global level and focusing on institutional capacity building vis-à-vis technical data management and reporting, the environmental risks are negligible. At the country level, there may in some countries be some domestic

	Status	Rating*
Sustainability	<ul style="list-style-type: none"> • Risk monitoring is somewhat rudimentary, the 16 risks in the GPS results framework are not monitored, and most risks in the UNDP risk log are not risks for GSP delivery. • Weak institutional arrangements in many Non-Annex I countries and capacity constraints remain major challenges for the in-country application of GSP knowledge/skills • Financial sustainability depends on future GEF/donor financial support. It is unlikely that national governments will fully finance GSP's services, given the global nature of the programme. There may be a gap in financing due to different timelines of GSP and the GEF • Due to the global nature of GSP and the significant differences among the Non-Annex I Parties, the degree of sustainability of the systems/processes established with support from GSP at the national level will vary significantly among countries, and a generalised statement on GSP sustainability is not feasible • The environmental risks of the project are negligible 	Moderately likely (ML)
*See Annex 3 for the rating scale applied		

5 Conclusions and Recommendations

5.1 Conclusions

145. **Relevance:** While the 154 Non-Annex I Parties are highly diverse and face different challenges, GSP is addressing a shared challenge for most of the countries; the challenges with establishing solid systems for GHG inventories and with preparing and timely submitting quality NCs and BURs. These challenges are important to tackle for the countries, for the following reasons:
- Countries are obliged to submit NCs and BURs under the UNFCCC framework, and reporting requirements are likely to be further increased in the future
 - The availability of solid climate change-related data will enable countries to make policy and planning decisions and prioritisations on an informed basis, thereby enabling them to tackle GHG emissions and climate vulnerability more effectively
 - The availability of NC and BUR can facilitate the mobilisation of international climate financing
146. The fact that 84% of all Non-Annex I Parties, 94% of all LDCs, and 74% of all SIDS have participated in GSP activities is a testimony to the fact that GSP is meeting a genuine demand.
147. Moreover, GSP has an added relevance as a link between global processes and national implementation and challenges. The proximity to the GEF enabling activities implemented at country level and direct communication with technical level staff in the countries combined with the strategic partnership with the UNFCCC Secretariat, means that GSP on the one hand provides the UNFCCC Secretariat with access to knowledge about the technical challenges at the national level (whereas UNFCCC's official National Focal Points are at the policy level). On the other hand, this linkage enables GSP to communicate technical requirements emanating from the global UNFCCC process to the countries.
148. **Effectiveness and impact:** GSP has had a surprisingly wide outreach and engaged almost three-quarters of all Non-Annex I Parties in its activities. Moreover, while GSP has had few activities specifically targeting LDCs and SIDS; GSP has still also managed to involve representatives from almost three quarters of these. GSP has engaged countries in a range of capacity-development and advisory activities; the main ones being regional workshops, country-specific workshops, reviewing written products for countries (mainly GHG inventories, NCs, and ToRs for technical experts), webinars/online training, translating key sections of UNFCCC and IPCC related guidelines, elaborating country cases studies, facilitating access to resources through the GSP website, and more recently establishing regional peer-to-peer learning networks.
149. GSP has strategically used partnerships and joint activities to enhance its effectiveness and outreach. The most central partnership is with the UNFCCC Secretariat and CGE, where GSP with financial support and collaborative preparation of workshops and other activities has significantly augmented the delivery of the capacity-building work plans of the UNFCCC Secretariat and CGE. GSP has through this partnership, as well as

through its other activities actively promoted that countries switch from the 1996 to the 2006 IPCC Guidelines for GHG inventories. GSP is also collecting survey data from countries, which are useful for both GSP and the UNFCCC Secretariat in the tracking of progress and identification of the key challenges that the Non-Annex I Parties are facing. Moreover, the establishment of regional networks for the related promotion of regional South-South cooperation and peer learning, is done in partnership with international agencies and proactive Non-Annex I Parties. GSP has plans to support the establishment of more of such regional networks.

150. The general responsiveness of GSP is widely appreciated by both countries and international partners. Stakeholders uniformly express an appreciation of the GSP managed/supported workshops and trainings, in terms of relevance, quality, and utility. Countries are also appreciating the value-added of having GSP reviewing their reports and inventories. However, the most valued contribution of GSP is arguably the regional, South-South, peer-to-peer learning opportunities, which has inspired countries to make tangible improvements, (see chapter 4.2 for specific examples). Anecdotal evidence and examples provided by interviewed stakeholders suggest that GSP has indeed enhanced their capacities and anecdotal evidence is confirming that the participating countries have been able to make tangible improvements at the technical level and in the NCs/BURs prepared. GSP has also contributed to an enhanced awareness of the gender dimension in MRV and transparency; an area which has otherwise received limited attention.
151. However, the extent to which the mainly short-term and ad-hoc support provided by GSP is fully leading to the intended results in terms of improved reporting, institutional setups, and engagement of different sectoral ministries and institutions is unclear. The achievement of such results hinges on a number of factors at the national level, over which GSP has little control. As such, GSP is not directly leading to country level outcomes in terms of improved policy frameworks, reporting, or climate data collection. Rather, GSP is making an indirect contribution towards such results, by enhancing the capacities and knowledge of countries. It should also be kept in mind that GSP is not working in isolation; a number of other initiatives at both global and national levels are also supporting Non-Annex 1 Parties. Moreover, given the large diversity of countries, the intended objective and outcomes of GSP may be achieved in some countries, but not in others – and success, or failure, in achieving them, cannot be attributed to GSP. Hence, the assessments of the likeliness of achieving the intended outcomes at the country level presented in this report do not necessarily say much about GSP's performance.
152. **Efficiency:** The de-facto start of GSP implementation was significantly delayed due to delays in the recruitment of GSP staff in both agencies due to lengthy recruitment procedures. For UNDP, the initial delay was four months, whereas for UN Environment it was ten months. Implementation has since picked up, but the spending is still below target for both agencies, even when factoring in the initial delays. Part of the explanation is that the initial annual budget was approximately the same for each year, not factoring in that typical project spending is exponential with low initial spending which increases as

the project matures. Taking this into account, as well as the planned expansion of regional South-South network activities, spending can be expected to pick up in the remaining implementation period, but the ability to fully spend the GSP budget before the closing date remains a concern.

153. A positive factor contributing to the lower than expected spending is the cost-effectiveness of GSP, e.g. achieved through the mobilisation of co-financing (in-kind and cash) from partners and even from countries themselves (e.g. for national-level activities), thereby reducing the costs for GSP. The use of partnerships has enabled GSP to engage in a large number of activities compared to its budget. GSP has been good at engaging both international partner agencies and Non-Annex I Parties in the planning and implementation of activities, in particular through a combination of a) partnerships and joint implementation, and b) responsiveness to requests coming from Non-Annex I partners.
154. UN Environment's overall level of activity delivery in terms of workshops and trainings has been somewhat low, with more emphasis given to review of NCs and revision of ToRs for experts. UN Environment has relied mainly on inhouse technical resources rather than consultants and partners for delivering technical inputs.
155. UNDP and UN Environment each have their unique strengths and there is thus a potential for synergy and mutual reinforcement, but the current set-up, with separate teams in different locations, separate budgets, and to a large extent separate activities, has not been conducive for capitalising on such synergies, and an opportunity has thus largely been lost. Indeed, GSP is largely functioning as two separate projects – albeit two projects that do coordinate their work and cooperate on certain activities.
156. As mentioned above, GSP carries out useful monitoring at the objective level, mapping the progress and challenges countries face and thereby informing the planning of activities. However, at the project level, monitoring is largely limited to the reporting on activities and inadequately capturing GSP outcomes and results, due shortcomings in the outcomes and indicators defined. Risk monitoring is also rudimentary, since the risks identified in the risk log are of little direct relevance for GSP.
157. **Sustainability:** At the national level, the sustainability of the results achieved by GSP and the countries vis-à-vis improving GHG inventories, institutional arrangements, and reporting depends on domestic political, institutional and financial factors, which are outside the control of GSP. At the regional level, the consolidation and sustainability of the regional networks established depends on the access to financial resources, continued support for some more years, and over time the ability of countries to assume full leadership. Similarly, the global functions currently carried out by GSP beyond 2020 depends on whether the two agencies can mobilise further funding, e.g. from the GEF.

5.2 Recommendations

158. Six overall recommendations supported by specific key actions and indications of

the responsible partners are presented below. The MTR has found a number of important challenges to be addressed in the medium term (post-project) in order to enhance the effectiveness and efficiency of a new phase of GSP and ensuring continuity of the processes set in motion by GSP. Hence, two types of key actions are provided: a) specific “project” immediate actions for the remaining implementation of the current phase of GSP, and b) “strategic” actions, which are medium-term actions for the anticipated next phase of GSP – which would depend on the availability of further grant funding.

Recommendation 1 (R1): Revise the indicators, targets, assumptions and risks in the results framework – to make them relevant and attributable to GSP delivery and feasible to measure			
Relevant for: Outcome 1.1, Outcome 1.2, Outcome 2.1. Outcome 3.1			
Responsible entities: GSP team, UNDP, UN Environment			
Key actions	Responsible	Time-frame	
		Project	Strategic
R1.1: Revise: <ul style="list-style-type: none"> Outcome and output indicators (making them SMART and manageable in number) Targets Assumptions Risks 	GSP	X	
R1.2: Engage UNDP and UN Environment monitoring units for advice on how to revise of the results framework and quality assurance in accordance with best practice	UNDP UNEP	X	
R1.3: Revise risk log, align it with the key risks identified in the results framework	GSP	X	

Recommendation 2 (R2): Establish and implement an outcome/results and risk monitoring system			
Relevant for: Project Implementation & Adaptive Management			
Responsible entities: GSP team, UNDP, UN Environment			
Key actions	Responsible	Time-frame	
		Project	Strategic
R2.1: Establish pragmatic tools/methods for results monitoring: <ul style="list-style-type: none"> Interview selected workshop participants 6-12 months after training to identify how they have applied the knowledge and skills obtained the results achieved, and enabling factors and barriers for their application Establish a system for categorising results reported by stakeholders/participants Identify other pragmatic tools for capturing results of the different GSP activity types Update periodically the tools used by the MTR (provided in Annex 13 and Annex 14) 	GSP	X	
R2.2: Engage UNDP and UN Environment monitoring units in the establishment of monitoring procedures	UNDP UNEP	X	

R2.3: Engage regional platforms in results monitoring, and for getting feedback on the utility of trainings and the use of knowledge and skills obtained	GSP	X	
R2.3: Carry out a results study, assessing the effectiveness of on-off training workshops in terms of contributing to improved institutional arrangements, GHG inventories, and NC/BUR reporting	GSP	X	
R2.4: Establish pragmatic tools/methods for risk monitoring – including mapping the extent to which countries are nominating/sending the right people to workshops	GSP	X	

Recommendation 3 (R3): Change the project management setup to ensure that the project becomes a joint effort by UNDP and UN Environment and fully capitalises on potential synergies and the comparative strengths of both agencies

Relevant for: Project Implementation & Adaptive Management

Responsible entities: UNDP, UN Environment, PAC

Key actions	Responsible	Time-frame	
		Project	Strategic
R3.1: Analyse the lessons from other joint UNDP-UN Environment initiatives, where joint teams and implementation modalities have been applied (e.g. UNDP-UNEP PEI)	UNDP UNEP		X
R3.2: Identify, analyse and consider possible management modalities conducive for joint implementation and obtaining synergies, e.g.: <ul style="list-style-type: none"> A joint UNDP-UN Environment GSP Team with staff from both agencies, co-managing both budgets and based in the same location A single joint inter-agency GSP-CBIT team Outsourcing procurement to UNOPS, to benefit from their flexible procedures and facilitating coordinated execution of both UNDP and UN Environment budgets 	UNDP UNEP PAC		X
R3.3: Select the most appropriate model for joint implementation	UNDP UNEP		X

Recommendation 4 (R4): Implement support measures to further increase UN Environment implementation of GSP activities

Relevant for: Project Implementation & Adaptive Management

Responsible entities: UN Environment

Key actions	Responsible	Time-frame	
		Project	Strategic
R4.1: Analyse the underlying reasons for the somewhat low level of activity implementation identify options addressing these bottlenecks	UNEP GSP	X	
R4.2: Elaborate and implement a strategy for optimising the use of in-house GSP staff time and external expert and partner resources vis-à-vis enhancing the level of activity implementation	UNEP GSP	X	

R4.3: Mobilise support for the GSP Manager in the effective delivery of both programme coordination and technical inputs – e.g. by using both in-house staff and external expert resources (incl. UNVs)	UNEP GSP	X	
R4.4: Prioritise the participation of the GSP Manager in UNFCCC COPs and SBSTA meetings.	UNEP	X	

Recommendation 5 (R5): Build upon, and further enhance, GSP's partnership model and stakeholder engagement for effective and efficient delivery			
Relevant for: Outcome 2.1, Outcome 3.1, Project Implementation & Adaptive Management, sustainability			
Responsible entities: GSP, UNDP, UN Environment, PAC			
Key actions	Responsible	Time-frame	
		Project	Strategic
R5.1: Formalise the partnership with the UNFCCC Secretariat with a Memorandum of Understanding specifically between GSP (UNDP and UN Environment) and the UNFCCC Secretariat	UNDP UNEP PAC		X
R5.2: Include an elected representative of the regional networks on a rotating basis in the PAC – to enhance the involvement of Non-Annex I Parties and project beneficiaries in the project steering and oversight	UNDP UNEP PAC		X
R5.3: Analyse the results and lessons learned from the existing regional MRV networks, as an input to the establishment of new networks	GSP	X	
R5.4: As the regional networks mature, use them as an extended, regional, presence of GSP, e.g. when appropriate by replicating the West African MRV model with UNV facilitation	GSP	X	
R5.5: Further prioritise the use of regional networks as the backbone for the delivery of GSP's regional and national level activities and more strategic, longer-term engagement	GSP	X	
R5.6: Pursue the establishment of one or more regional network in Asia, e.g. in cooperation with Singapore or ASEAN	GSP		X
R5.7: Consider recruiting a UNV (e.g. to be posted in the RCC in Bangkok) to strengthen the engagement in Asia	GSP		X
R5.8: Further strengthen the linkage to the GEF enabling activities and make it more structured, e.g. by involving GSP in the design of enabling activities	GSP UNDP UNEP		X
R5.9: Analyse the potential implications and opportunities for GSP presented by PCCB, and assess the scope for, and potential benefits of, coordinating and establishing a partnership with PCCB	GSP	X	

Recommendation 6 (R6): Further enhance the targeting of GSP delivery on key challenges for Non-Annex I Parties, peer learning, and the specific needs of LDCs and SIDS			
Relevant for: Outcome 1.1, Outcome 1.2, Outcome 2.1., sustainability			
Responsible entities: GSP, PAC			
Key actions	Responsible	Time-frame	
		Project	Strategic

MTR: UNDP-UNEP-GEF Global Support Programme

R6.1: Provide, in close collaboration with the UNFCCC Secretariat Adaptation Programme, training and guidance on the tracking of, and reporting on: a) adaptation measures, and b) political/policy actions vis-à-vis GHG emissions	GSP	X	
R6.2: Analyse the approaches and tools developed by dedicated mainstreaming initiatives (e.g. UNDP-UNEP PEI) and assess the possibility to adapt them to make a simple guidance note on how to engage with the economic sectors vis-à-vis GHG Inventories and their relevance and use for the economic sectors	GSP	X	
R6.3: Consider using SBSTA meetings and COPs as opportunities to raise the political awareness about the socio-economic benefits of using GHG inventories as domestic policy and planning tools across sectors, e.g. through side events and informal discussions	GSP PAC	X	
R6.4: Develop a strategy and specific activities for piloting a more systematic engagement with selected LDCs and SIDS	GSP PAC		X

Annex 1: MTR ToR (excluding ToR annexes)

UNDP-GEF Midterm Review Terms of Reference

1. INTRODUCTION

This is the Terms of Reference (ToR) for the UNDP-GEF Midterm Review (MTR) of the *full-sized* project titled ‘*Global Support Programme for Preparation of National Communications and Biennial Update Reports of Non-Annex I Parties under the UNFCCC*’ (PIMS 5164) implemented through UNDP *Istanbul Regional Hub*, which is to be undertaken in 2018. The project started on the *May 1, 2015* and is in its *third* year of implementation. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the *third* Project Implementation Report (PIR). This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*.

(<http://web.undp.org/evaluation/guidance.shtml#handbook>)

2. PROJECT BACKGROUND INFORMATION

The Global Support Programme is a UNEP and UNDP implemented programme that provides support to Non-Annex I Parties in order to prepare quality National Communications (NCs) and Biennial Update Reports (BURs) that are submitted to the UNFCCC in a timely manner. Technical support is being provided on-line, off-line and on-site to all countries that approach the GSP team, and complements the work of other supporting bodies such as the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention.

This 5-year long programme has the intention to deliver on the following three outputs, being

1. strengthened technical and institutional capacities of Non-Annex I Parties to report on NCs and BURs, consistent with national development plans and that meet the Convention objectives,
2. established national systems/frameworks of documenting procedures and processes for NCs and BURs reporting under the UNFCCC,
3. high quality and timely reporting on NCs and BURs by Non-Annex I Parties.

The project activities commenced in late 2015 with conclusion planned for late 2020. The project runs on principal allocations of 3,575,000 USD from GEF per each of the two agencies engaged (UNDP and UNEP), for a total of USD 7,150,000.

Co-financing is as follows:

UNDP: co-financing from recipient countries has been estimated to USD 450,000 and includes staff time of Government representatives in the national steering committees, higher level oversight of the project at ministries and other government staff who directly or indirectly contribute

to the GSP. Further there is be a cash co-financing of USD 450.000 from UNDP's Low Emission Capacity Building Program. Thus, total co-financing from UNDP is USD 900.000

UNEP: co-financing from recipient countries has been estimated to USD 450,000 and includes staff time of Government representatives in the national steering committees, higher level oversight of the project at ministries and other government staff who directly or indirectly contribute to the GSP. Further, UNEP also provides directly an additional co-funding of USD 450.000. Thus, total co-funding from UNEP is USD 900.000. As per agreement in the Project Document between the two agencies, the Mid Term Review is responsibility of UNDP while the Final Term Review will be led by UNEP.

3. OBJECTIVES OF THE MTR

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence based information that is credible, reliable and useful. The consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The consultant will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The consultant is expected to follow a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts, the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders. (For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.)

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to UN Environment Global Support Programme (GSP) Team in Economy Division of Climate Change Mitigation Unit; UNFCCC, CGE, senior officials in recipient countries, key experts and consultants in the subject area, Project Board, project stakeholders including both developed and developing countries, etc. Additionally, the consultant is expected to conduct field missions to Istanbul, Turkey, (UNDP) and Nairobi, Kenya (UNEP) for a total of up to 6 days. (For more stakeholder engagement in the M&E process, see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 3, pg. 93.)

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

The consultant will assess the following four categories of project progress. See the Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for extended descriptions. (<http://web.undp.org/evaluation/guidance.shtml#handbook>)

5. DETAILED SCOPE OF THE MTR

The consultant will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ¹¹	Baseline Level ¹²	Level in 1 st PIR (self-reported)	Midterm Target ¹³	End-of-project Target	Midterm Level & Assessment ¹⁴	Achievement Rating ¹⁵	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved

Yellow= On target to be achieved

Red= Not on target to be achieved

In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive ManagementManagement Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.

¹¹ Populate with data from the Logframe and scorecards

¹² Populate with data from the Project Document

¹³ If available

¹⁴ Colour code this column only

¹⁵ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

MTR: UNDP-UNEP-GEF Global Support Programme

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The consultant will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings. (Alternatively, MTR conclusions may be integrated into the body of the report)

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for guidance on a recommendation table.

The consultant should make no more than 15 recommendations total.

Ratings

The consultant will include its ratings of the project's results and brief descriptions of the associated achievements in a MTR Ratings & Achievement Summary Table in the Executive Summary of the MTR report. No rating on Project Strategy and no overall project rating is required. Ratings scales will be available upon request.

Table. MTR Ratings & Achievement Summary Table for *Global Support Programme for Preparation of National Communications and Biennial Update Reports of Non-Annex I Parties under the UNFCCC*

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	

Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the MTR will be approximately **24 working days** over a time period of 16 weeks starting 5th of February 2018, and shall not exceed five months from when the consultant is hired. The tentative MTR timeframe is as follows:

ACTIVITY	ESTIMATED NUMBER OF WORKING DAYS
Document review and preparing MTR Inception Report (MTR Inception Report due no later than 2 weeks before the MTR mission)	3 days
MTR mission: stakeholder meetings, interviews, field visits	9 days
Presentation of initial findings- last day of the MTR mission	1 day
Preparing draft report (due within 3 weeks of the MTR mission)	7 days
Finalization of MTR report/Incorporating audit trail from feedback on draft report (due within 1 week of receiving UNDP/UNEP comments on the draft)	4 days
Options for site visits should be provided in the Inception Report. List of Documents to be reviewed by the consultant will be available upon request	

7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Responsibilities
1	MTR Inception Report	The consultant clarifies objectives and methods of Midterm Review	The consultant submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	The consultant presents to project management and the Commissioning Unit

3	Draft Final Report	Full report (using guidelines on content outlined in Guidelines on Contents for the Midterm Review Report) with annexes	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Sent to the Commissioning Unit

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8. MTR ARRANGEMENTS

Institutional Arrangements

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is the UNDP Istanbul Regional Hub and UNDP/ UN Environment GSP team. The commissioning unit will contract the consultant and ensure all necessary support throughout the process, including with travel arrangements within the country for the MTR consultant. The Project Team will be responsible for liaising with the MTR consultant to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

The commissioning unit will contract the consultant and ensure the timely provision of per diems and travel arrangements within Turkey and Kenya for the consultant. The Project Team will be responsible for liaising with the consultant to provide all relevant documents, set up stakeholder interviews, and arrange field visits. Field visits will be two: up to three (3) days at UNEP Headquarter in Nairobi and up three (3) days at UNDP's Istanbul Regional Hub.

An independent consultant with experience and exposure to projects and evaluations in other regions globally will conduct the MTR). The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

9. TEAM COMPOSITION

An independent consultant with experience and exposure to projects and evaluations in other regions globally will conduct the MTR. The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultant will be aimed at maximizing the overall "team" qualities in the following areas:

- Work experience in climate change, capacity development or environment, economics and/or development related field for at least 7 years; (10%)
- Experience with result-based management evaluation methodologies; (10%)
- Experience applying SMART indicators and reconstructing or validating baseline scenarios; (10%)
- Competence in adaptive management, as applied to Climate Change Mitigation and Adaptation; (5%)
- Experience working with the GEF or GEF-evaluations; (10%)
- Experience working in global projects, with focus on Non-Annex I Parties under the UNFCCC; (5%)

- Demonstrated understanding of issues related to gender and climate change; experience in gender sensitive evaluation and analysis. (5%)
- Project evaluation/review experiences within United Nations system will be considered an asset. (5%)
- Excellent communication skills in English. (5%)
- A Master's degree in environmental sciences, environmental policies, social sciences, economics, business administration, international relations, or other closely related field. (10%)

10. PAYMENT MODALITIES AND SPECIFICATIONS

20% of payment upon approval of the final MTR Inception Report

40% upon submission of the draft MTR report

40% upon finalization of the MTR report

11. APPLICATION PROCESS¹⁶

Qualified candidates are requested to apply online via this website. The application should contain:

- Cover letter explaining why you are the most suitable candidate for the advertised position. Please paste the letter into the "Resume and Motivation" section of the electronic application.
- Filled P11 form including past experience in similar projects and contact details of referees (blank form can be downloaded from http://www.eurasia.undp.org/content/dam/rbec/docs/P11_modified_for_SCs_and_ICs.doc); please upload the P11 instead of your CV.
- Brief description of approach to work/technical proposal of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- Financial Proposal* in USD – as total lump-sum specifying a) total amount for tasks specified in this announcement and b) missions related costs (including i) travel costs and ii) per diem for 3 days in Istanbul, Turkey and for 3 days in Nairobi, Kenya)

Incomplete applications will not be considered. Please make sure you have provided all requested materials. Please combine all your documents into one (1) single PDF document as the system only allows to upload maximum one document.

** Please note that the financial proposal is all-inclusive and shall take into account various expenses incurred by the consultant/contractor during the contract period (e.g. fee, health insurance, vaccination, personal security needs and any other relevant expenses related to the performance of services...).*

Payments will be made only upon confirmation of UNDP on delivering on the contract obligations in a satisfactory manner.

Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director. Consultants are also required to comply with the UN security directives set forth under dss.un.org

General Terms and conditions as well as other related documents can be found under: <http://on.undp.org/t7fjs>.

Qualified women and members of minorities are encouraged to apply.

Due to large number of applications we receive, we are able to inform only the successful candidates about the outcome or status of the selection process.

¹⁶ Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: <https://info.undp.org/global/popp/Pages/default.aspx>

Annex 2: MTR evaluative matrix

No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
Project Strategy				
Project Design				
1.	Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.	<ul style="list-style-type: none"> • Validity of assumptions in ProDoc • Completeness/gaps in assumptions in ProDoc – focusing on the outcome and objective levels 	<ul style="list-style-type: none"> • ProDoc • PIRs • UNDP staff • UN Environment staff 	<ul style="list-style-type: none"> • Document review • Interviews
2.	Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?	<ul style="list-style-type: none"> • Added value and appropriateness of the GSP support in the views of Non-Annex I country representatives • Continuation and refinement approaches initiated under earlier projects (e.g. NSCP) • Links to, and cooperation with, UNDP and UN Environment projects with an on-country presence (e.g. enabling activities, LECB, PEI) 	<ul style="list-style-type: none"> • ProDoc • PIRs • PAC meeting minutes • Non-Annex I country representatives 	<ul style="list-style-type: none"> • Document review • Interviews
3.	Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?	<ul style="list-style-type: none"> • Alignment with national strategies and policies and priorities, as perceived by Non-Annex I country representatives • Progress in/feasibility of national amending institutional arrangements 	<ul style="list-style-type: none"> • PIRs • PAC meeting minutes • Non-Annex I country representatives 	<ul style="list-style-type: none"> • Document review • Interviews
4.	Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or	<ul style="list-style-type: none"> • Involvement of CGE and Non-Annex I country representatives in GSP design • Stakeholders were consulted during design and work plan development 	<ul style="list-style-type: none"> • ProDoc • CGE members • Non-Annex I country representatives 	<ul style="list-style-type: none"> • Document review • Interviews

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
	other resources to the process, taken into account during project design processes?	<ul style="list-style-type: none"> Stakeholders find that the project responds to their priorities and views 	<ul style="list-style-type: none"> UNFCCC Sec staff 	
5.	Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of <i>Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects</i> for further guidelines.	<ul style="list-style-type: none"> Plans for addressing gender issues and inclusion of women included in ProDoc Existence and actual application of GSP gender tools Gender disaggregated data on workshop participation 	<ul style="list-style-type: none"> PIRs UNDP staff UN Environment staff CGE members Non-Annex I country representatives 	<ul style="list-style-type: none"> Document review Interviews Guidance in Annex 9 of <i>Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects</i>
6.	If there are major areas of concern, recommend areas for improvement.	<ul style="list-style-type: none"> Results from performance assessment of outputs and outcomes Stakeholders raise major issues 	<ul style="list-style-type: none"> PIRs PAC meeting minutes UNDP staff UN Environment staff CGE members UNFCCC Sec staff Non-Annex I country representatives 	<ul style="list-style-type: none"> Document review Interviews
Results Framework/Logframe				
7.	Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.	<ul style="list-style-type: none"> Outcome and objective indicators are in place and adequately monitored Baselines have been established at the outcome and objective levels 	<ul style="list-style-type: none"> ProDoc PIRs Monitoring/indicator monitoring system Tracking tools UNDP staff UN Environment staff 	<ul style="list-style-type: none"> Document review Interviews
8.	Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?	<ul style="list-style-type: none"> Level of progress on delivery of outcomes and objectives Existence of clear assumptions and a theory of change taken the importance of external factors vis-à-vis the achievement of outcomes and objective adequately into consideration. 	<ul style="list-style-type: none"> ProDoc PIRs UNDP staff UN Environment staff CGE members UNFCCC Sec staff 	<ul style="list-style-type: none"> Document review Interviews

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
			<ul style="list-style-type: none"> Non-Annex I country representatives 	
9.	Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.	<ul style="list-style-type: none"> Direct impacts are unlikely for GSP, as it does not engage comprehensively at the country level and has a focus on the preparation of reports (NCs, BURs) rather than programme delivery. GSP support has inspired countries to improve their institutional setup, especially vis-à-vis mainstreaming the involvement of sector institutions in the development and use of NC and BUR data. 	<ul style="list-style-type: none"> PIRs UNDP staff UN Environment staff 	<ul style="list-style-type: none"> Document review Interviews
10.	Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.	<ul style="list-style-type: none"> Application of GSP gender tools – and the extent to which this is monitored Gender disaggregated data on workshop participation Since GSP is mainly providing training and support for specific type of people at the technical level, it is more relevant to look at the inclusion of gender considerations in the approaches promoted than to include gender "development" indicators 	<ul style="list-style-type: none"> PIRs UNDP staff UN Environment staff CGE members Non-Annex I country representatives 	<ul style="list-style-type: none"> Document review Interviews Guidance in Annex 9 of <i>Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects</i>
Progress Towards Results				
Progress Towards Outcomes Analysis				
11.	Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the <i>Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects</i> ; colour code progress in a "traffic light system" based on the level of progress	<ul style="list-style-type: none"> Indicator achievement versus milestones and targets (mid-term and completion) 	<ul style="list-style-type: none"> ProDoc PIRs Monitoring/indicator tracking tools 	<ul style="list-style-type: none"> Document review Use the <i>Progress Towards Results Matrix</i> and follow the <i>Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects</i>

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
	achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).			
12.	Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.	<ul style="list-style-type: none"> Current status compared to baseline The CC tracking tool is of limited relevance to GSP, since GSP does not engage directly in adaption or mitigation activities at the country level 	<ul style="list-style-type: none"> GEF tracking tool at baseline and mid-term UNDP staff UN Environment staff 	<ul style="list-style-type: none"> Document review Interviews
13.	Identify remaining barriers to achieving the project objective in the remainder of the project.	<ul style="list-style-type: none"> Extent to which institutional and political barriers at the country level have hampered the use of GSP approaches and skills imparted 	<ul style="list-style-type: none"> PIRs UNDP staff UN Environment staff CGE members Non-Annex I country representatives 	<ul style="list-style-type: none"> Document review Interviews
14.	By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.	<ul style="list-style-type: none"> Institutional arrangements have been improved and come more conducive for CC mainstreaming Skills and capacities imparted are translating into better quality and more regular elaboration of NCs and BURs 	<ul style="list-style-type: none"> PIRs UNDP staff UN Environment staff CGE members Non-Annex I country representatives 	<ul style="list-style-type: none"> Document review Interviews
Project Implementation and Adaptive Management				
Management Arrangements				
15.	Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.	<ul style="list-style-type: none"> Changes been made and their effectiveness Clarity of responsibilities and reporting lines Transparency and timeliness of decision-making 	<ul style="list-style-type: none"> PIRs PAC meeting minutes UNDP staff UN Environment staff CGE members UNFCCC Sec staff 	<ul style="list-style-type: none"> Document review Interviews

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
16.	Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.	<ul style="list-style-type: none"> • Responsiveness of UNPD and UN Environment to country requests • Level of coordination and cooperation between UNDP and UN environment 	<ul style="list-style-type: none"> • PIRs • PAC meeting minutes • UNDP staff • UN Environment staff • Non-Annex I country representatives 	<ul style="list-style-type: none"> • Document review • Interviews
17.	Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.	<ul style="list-style-type: none"> • Clarity of the guidance provided from the executing agency and PAC – for both UNDP and UN Environment 	<ul style="list-style-type: none"> • PIRs • PAC meeting minutes • UNDP staff • UN Environment staff 	<ul style="list-style-type: none"> • Document review • Interviews
Work Planning				
18.	Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.	<ul style="list-style-type: none"> • Occurrence of delays in start-up and implementation • Justification/reason for delays • Activity implementation status vs milestones and work plans 	<ul style="list-style-type: none"> • ProDoc • Work plans and budgets • PIRs • UNDP staff • UN Environment staff 	<ul style="list-style-type: none"> • Document review • Interviews
19.	Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?	Work plans contain clear milestones vis-à-vis outcomes	<ul style="list-style-type: none"> • Work plans and budgets 	<ul style="list-style-type: none"> • Document review
20.	Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.	<ul style="list-style-type: none"> • The results framework has been reviewed • Alignment between results framework and work plans 	<ul style="list-style-type: none"> • ProDoc • Work plans and budgets • UNDP staff • UN Environment staff 	<ul style="list-style-type: none"> • Document review • Interviews
Finance and Co-finance				
21.	Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.	<ul style="list-style-type: none"> • Use of implementing partners' and stakeholders' own resources and capacities • Appropriateness of changes to fund allocations and budget revisions. 	<ul style="list-style-type: none"> • Financial statements • Work plans and budgets • Audit reports • PIRs • UNDP staff • UN Environment staff 	<ul style="list-style-type: none"> • Document review • Interviews

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
22.	Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.	<ul style="list-style-type: none"> Fund allocations and reallocations are clearly justified/explained Spending is satisfactory across outcomes/outputs 	<ul style="list-style-type: none"> Work plans and budgets PIR's PAC meeting minutes Audit reports UNDP staff UN Environment staff 	<ul style="list-style-type: none"> Document review Interviews
23.	Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?	<ul style="list-style-type: none"> Audit findings on the financial management and expenditures are unqualified Budgets are clear and easy to understand Budgets are output based 	<ul style="list-style-type: none"> Work plans and budgets Audit reports UNDP staff UN Environment staff 	<ul style="list-style-type: none"> Document review Interviews
24.	Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: Is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?	<ul style="list-style-type: none"> Co-financing from Non-Annex I Parties builds on existing processes and priorities of the partners Meetings with co-financing partners (UNDP and UN Environment) takes place in the PAC and agency coordination meetings. Meetings and coordination with Non-Annex I Parties 	<ul style="list-style-type: none"> Work plans and budgets PIR's PAC meeting minutes UNDP staff UN Environment staff 	<ul style="list-style-type: none"> Document review Interviews
Project-level Monitoring and Evaluation Systems				
25.	Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required?	<ul style="list-style-type: none"> Necessary information on outputs, outcomes and impact is provided Participatory monitoring will be a challenge, due to the ad-hoc nature of GSP support. Existing information is utilised when available. Alignment with national systems would be difficult since all Non-Annex I Parties are entitled to support and GSP has no permanent in-country presence. 	<ul style="list-style-type: none"> Monitoring/indicator tracking tools PIRs Baseline information UNDP staff UN Environment staff Non-Annex I country representatives 	<ul style="list-style-type: none"> Document review Interviews

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
	How could they be made more participatory and inclusive?			
26.	Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?	<ul style="list-style-type: none"> • Sufficiency of the resources allocated to M&E • Adequacy of the management of the resources allocated to M&E 	<ul style="list-style-type: none"> • Financial statements • Work plans and budgets • UNDP staff • UN Environment staff 	<ul style="list-style-type: none"> • Document review • Interviews
Stakeholder Engagement				
27.	Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?	<ul style="list-style-type: none"> • Existence of necessary and appropriate partnerships with stakeholders • Contribution of stakeholder involvement and public awareness towards the achievement of project objectives 	<ul style="list-style-type: none"> • PIRs • PAC meeting minutes • UNDP staff • UN Environment staff • Non-Annex I country representatives 	<ul style="list-style-type: none"> • Document review • Interviews
28.	Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?	<ul style="list-style-type: none"> • Stakeholders have an active role in project decision-making • Existence of necessary and appropriate partnerships with stakeholders • Stakeholders are heard in the development of support products • 	<ul style="list-style-type: none"> • PIRs • PAC meeting minutes • UNDP staff • UN Environment staff • Non-Annex I country representatives 	<ul style="list-style-type: none"> • Document review • Interviews
29.	Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?	<ul style="list-style-type: none"> • Contribution of stakeholder involvement and public awareness towards the achievement of project objectives – e.g. in relation to country-specific support, and dissemination of tools and workshop results. 	<ul style="list-style-type: none"> • PIRs • UNDP staff • UN Environment staff • Non-Annex I country representatives 	<ul style="list-style-type: none"> • Document review • Interviews
Reporting				

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
30.	Assess how adaptive management changes have been reported by the project management and shared with the Project Board.	<ul style="list-style-type: none"> Reporting of adaptive management changes by the GSP team to the PAC Fulfilment of GEF reporting requirement 	<ul style="list-style-type: none"> PIRs PAC meeting minutes UNDP staff UN Environment staff 	<ul style="list-style-type: none"> Document review Interviews
31.	Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)	<ul style="list-style-type: none"> Rating of PIRs 	<ul style="list-style-type: none"> PIRs PAC meeting minutes GEF Sec staff UNDP staff 	<ul style="list-style-type: none"> Document review Interviews
32.	Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.	<ul style="list-style-type: none"> Documentation, sharing and use of lessons learned 	<ul style="list-style-type: none"> PIRs PAC meeting minutes GSP products and publications UNDP staff UN Environment staff 	<ul style="list-style-type: none"> Document review Interviews
Communications				
33.	<p>Review internal project communication with stakeholders:</p> <p>Is communication regular and effective?</p> <p>Are there key stakeholders left out of communication?</p> <p>Are there feedback mechanisms when communication is received?</p> <p>Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?</p>	<ul style="list-style-type: none"> Regularity and clarity of communication Level of inclusion of key stakeholders in communication Existence of feedback mechanisms for communication received Contribution of communication with stakeholders to their awareness of GSP outcomes and activities and their investment in the sustainability of GSP results 	<ul style="list-style-type: none"> PIRs PAC meeting minutes GSP products and publications UNDP staff UN Environment staff CGE staff Non-Annex I country representatives 	<ul style="list-style-type: none"> Document review Interviews

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
34.	Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)	<ul style="list-style-type: none"> External communication channels, such as a website, presence on social media Number of hits and downloads on GSP website Outreach and public awareness campaigns 	<ul style="list-style-type: none"> Progress reports/PIRs PSC meeting minutes Products and publications Website statistics UNDP staff UN Environment staff CGE staff Non-Annex I country representatives 	<ul style="list-style-type: none"> Document review Interviews
35.	For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> N/A
Sustainability				
36.	Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.	<ul style="list-style-type: none"> Relevance, importance and comprehensiveness of the risks identified and accuracy the risk rating 	<ul style="list-style-type: none"> ProDoc PIRs Risk log from Atlas Risk Management Module UNDP staff UN Environment staff 	<ul style="list-style-type: none"> Document review Interviews
Financial risks to sustainability				
37.	What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?	<ul style="list-style-type: none"> Likelihood of a second phase of GSP Post-project availability of sufficient Government resources at the national level Presence of ongoing or planned other projects that will support the post-project continuation of processes, especially at the country level 	<ul style="list-style-type: none"> PIRs PAC meeting minutes UNDP staff UN Environment staff GEF Sec staff Non-Annex I country representatives 	<ul style="list-style-type: none"> Document review Interviews
Socio-economic risks to sustainability				

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
38.	<p>Are there any social or political risks that may jeopardize sustainability of project outcomes?</p> <p>What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?</p> <p>Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?</p> <p>Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?</p>	<ul style="list-style-type: none"> • Level of stakeholder awareness, ownership and commitment to post-project continuation • Level of political awareness and support at the country level to the long-term objectives of the project, including the establishment of institutional structures and involvement of sector institutions • Extent to which the GSP is documenting lessons and sharing with partners to promote upscaling and replication 	<ul style="list-style-type: none"> • PIRs • PAC meeting minutes • UNDP staff • UN Environment staff • GEF Sec staff • CGE staff • Non-Annex I country representatives 	<ul style="list-style-type: none"> • Document review • Interviews
Institutional Framework and Governance risks to sustainability				
39.	<p>Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/mechanisms for accountability, transparency, and technical knowledge transfer are in place.</p>	<ul style="list-style-type: none"> • Supportiveness of the legal frameworks and policies at the country level • Appropriateness, supportiveness and capacity of institutions and governance structures • Presence of adequate systems/mechanisms for accountability and transparency • Existence of mechanisms for transfer of technical knowledge 	<ul style="list-style-type: none"> • PIRs • PAC meeting minutes • UNDP staff • UN Environment staff • GEF Sec staff • CGE staff • Non-Annex I country representatives 	<ul style="list-style-type: none"> • Document review • Interviews
Environmental risks to sustainability				

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No.	Evaluative questions	Indicators/criteria	Data sources	Methodology
40.	Are there any environmental risks that may jeopardize sustenance of project outcomes?	<ul style="list-style-type: none"> Considering the nature of GSP, which focuses on institutional capacities, environmental risks to the outcomes appear very unlikely. 	<ul style="list-style-type: none"> UNDP staff UN Environment staff GEF Sec staff CGE staff Non-Annex I country representatives 	<ul style="list-style-type: none"> Interviews

Annex 3: Ratings scales

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

Annex 4: MTR mission itinerary

Overall programme			
Date	Day	Location	Activity
24 Mar	Sat	Arrival in Nairobi	Travel
25 Mar	Sun	Guesthouse	Document review
26 Mar	Mon	UN Environment HQ	Meeting UN Environment staff
27 Mar	Tue	UN Environment HQ	Meeting UN Environment staff
		Government of Kenya	Meeting CGE member (former chair)
28 Mar	Wed	UN Environment HQ	Meeting UN Environment staff
		Departure from Nairobi	Travel
24 Apr	Tue	Arrival in Berlin	Travel
		CBIT coordination meeting	Meeting GEF Secretariat and UNDP staff
25 Apr	Wed	CBIT technical workshop	Meeting Non-Annex I Parties and development partners
26 Apr	Thu	CBIT technical workshop	Meeting Non-Annex I Parties and development partners
27 Apr	Fri	Hotel	Meeting UNDP staff
28 Apr	Sat	Departure from Berlin	Travel
14 May	Mon	UN City, Copenhagen	Meeting UNEP-DTU Staff

Annex 5: Persons interviewed

Stakeholder	Location
UNDP	
Damiano Borgogno, Coordinator, GSP, Europe and CIS Regional Hub	Berlin, Skype
Yamil Bonduki, Technical Advisor, Climate and Disaster Resilience Team, Bureau for Policy & Programme Support	Skype
Eva Huttova, Programme Analyst, Global Environmental Finance/Bureau for Policy and Programme Support, Europe and CIS Regional Hub	Skype
Miroslav Tadic, Serbia Country Office	Berlin
UN Environment	
Stanford Abel Mwakasonda, Programme Management Officer, Division of Technology Industry and Economics	Nairobi
Djaheezah Subratty	Nairobi
Geordie Colville, Senior Programme Manager, Climate Change Mitigation Unit, Economy Division	Nairobi
Martin Adera Okun, Fund Management Officer, Climate Change Mitigation Unit, Economy Division	Nairobi
Suzanne Lekoyiet, Climate Change Mitigation Unit, Economy Division	Nairobi
Kennedy Akatsa, Economy Division	Nairobi
Miriam L. Hinojosa, UNEP-DTU Partnership	Copenhagen
Frederik Staun, UNEP-DTU Partnership	Copenhagen
Fatemeh Bakhtiari, UNEP-DTU Partnership	Copenhagen
George Manful, former UN Environment staff member	Skype
GEF Secretariat	
Milena Gonzalez Vasquez, Operations Analyst, Latin America regional team, Climate change mitigation	Berlin
UNFCCC Secretariat	
William Agyemang-Bonsu, Manager, Mitigation and Transparency Support, Mitigation, Data and Analysis Programme	Skype
Dominique Revet, Team Lead, Training and Certification (TC) Unit	Phone
Luca Brusa, Regional Hubs	Skype
Jigme, Team Lead, NDC and Transparency Unit	Skype
CGE	
Stephen M. King'uyu, Climate Change Directorate, Ministry of Environment & Natural Resources	Nairobi
Sin Liang Cheah, Lead Coordinator for Climate Negotiations, National Climate Change Secretariat, Strategy Group, Prime Minister's Office, Singapore	Skype
Thiago Mendes, Vice Minister for Climate Change, Ministry of Science & Technology, Brazil	Skype
Development Partners – Annex I parties	

MTR: UNDP-UNEP-GEF Global Support Programme

Klaus Wenzel, GIZ	Skype
Ana Maria Danila, European Commission (former CGE member)	Berlin
<i>National Governments – Non-Annex I parties</i>	
1. Daniel Tutu, Ghana	Berlin
2. Saruul Sh, Mongolia	Berlin
3. Jenny Mager Santos, Chile	Berlin
4. Macarena Maia Moreira Muzio, Argentina	Berlin
5. Virginia Sena, Uruguay	Berlin
6. Teodora Obradovikj Grncharovska, Macedonia	Berlin
7. Komlan Edou, Togo	Berlin
8. Vahakn Kabakian, Lebanon	Berlin
9. B. Aisha Golamaully, Mauritius	Skype

Annex 6: Documents reviewed

1. GSP UNDP Project Document, 1 May 2015
2. CEO Endorsement. GEF Council Notification on Amended Project, 18 June 2014
3. UNEP's Annexes to CEO Endorsement Document
4. Minutes of virtual Project Appraisal Committee, 4-15 August 2014
5. UN Environment project revisions (budget, completion date): 23 April 2015, 14 June 2016, 16 November 2017
6. GSP Inception Workshop Report, 2015
7. Project Implementation Review (PIR) reports: 2016, 2017
8. UNDP Strategic Plan 2018-2021
9. UNEP Mid Term Strategy 2018-2021
10. UN Environment PIR 2016
11. PAC meeting minutes: February 2016, February 2017, September 2017, February 2018
12. PAC meeting presentations: February 2016, February 2017, September 2017
13. GSP Response/Action to comments received during PAC meeting, as per PAC minutes – 2017, 2nd Meeting – February 2017
14. UNDP-UN Environment coordination meeting minutes: 19 July 2017, 14 December 2017
15. Concept Note on UNEP/UNDP - GSP INDC Support by DTU
16. GSP website: <http://www.un-gsp.org/>
17. GSP website statistics 24 May 2017 – 2 April 2018 (Google Analytics)
18. Various GSP workshop and event reports, presentations, briefs, agendas, invitations, participants lists, and documentation
19. Webinar presentation: Introduction to MRV process and cross-cutting issues, 22 March 2018
20. Various UN Environment GSP infographics
21. Best Practice Briefs
22. Guidelines and tools:
 - UNFCCC: Resource Guide for Preparing the National Communications of Non-Annex I Parties, Module 2 Vulnerability and Adaptation to Climate Change
 - UNFCCC: Guide for Peer Review of National GHG Inventories, 2017
 - CGE: Handbook on Vulnerability and Adaptation Assessment
 - UNFCCC: Handbook on Measurement, Reporting and Verification for Developing Country Parties, 2014
 - UNFCCC: International Consultation and Analysis, 2015
 - UNDP: Gender Responsive National Communications Toolkit, 2015
23. Spreadsheet on NC and BUR submission status 14 March 2018
24. Spreadsheet on GSP outputs and activities implemented and planned, 25 April 2018
25. Mwakasonda, S. (UN Environment, GSP): Steps to Integrate Climate Change Considerations into Relevant Social, Economic and Environmental Policies and Actions, January 2018
26. Mwakasonda, S. (UN Environment, GSP): Briefing Note: Initial Thoughts on Implications of COP 21 Paris Agreement to GSP
27. Global Support Programme (GSP) Experts List Technical Assistance to Supported Countries

28. Financial reports:

- UNDP Atlas Delivery reports: 2015, 2016, 2017
- UNDP spending broken down by component/outcome: 2015 – February 2018
- UNDP spending broken down by component/outcome: 1 Jan 2018 – 30 April 2018
- UN Environment Umoja spending and budget extracts 2015 – August 2018
- UN Environment annual spending broken down by component/outcome and work plan activity: 2016, 2017, January-April 2018
- UN Environment budget variance analysis

29. UN Environment GSP cleared project budget

30. UN Environment summary of budget reallocations

31. Co-financing letters:

- UNDP, 10 January 2014
- UNEP, 21 November 2013

32. UN Environment GSP: estimates of realised co-financing from UN Environment, Mauritius, Mongolia, April 2018

33. Annual GSP work plans: 2016, 2017, 2018

34. GEF Climate Change Mitigation tracking tool, March 2018

35. GSP: Excel sheet with overview of implemented and planned GSP activities: workshops, online trainings, written products, ad-hoc support, reports reviewed, May 2018

36. Concept Note on UNEP/UNDP - GSP INDC Support by DTU

37. UNEP-DTU: INDC support – technical reports, workshop reports

38. UNDP: Atlas Risk Log for GSP, 17 April 2018

39. UNDP: List of UNDP facilitated enabling activities, May 2018

Annex 7: Signed UNEG Code of Conduct form

United Nations Evaluation Group Code of Conduct for Evaluation in the UN System

Evaluation Consultants Agreement Form

To be signed by all consultants as individuals (not by or on behalf of a consultancy company) before a contract can be issued.

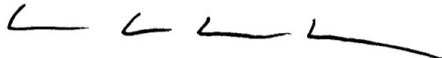
Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Kris B. Prasada Rao

Name of Consultancy Organisation: PEMconsult A/S

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Frederiksberg on 8 March 2018

Signature: 

Annex 8: Signed MTR final report clearance form

(to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)

Midterm Review Report Reviewed and Cleared By:
Commissioning Unit
Name: _____
Signature: _____ Date: _____
UNDP-GEF Regional Technical Advisor
Name: _____
Signature: _____ Date: _____

Annex 9: Progress Towards Results Matrix (achievement of outcomes against end-of-project targets)

Project Strategy	Indicator	Baseline level	Level in 1 st PIR (2015)	End-of-Project Target (in CEO endorsement)	Mid-term Level & Assessment*	Achievement Rating**	Justification for Rating
OBJECTIVE: Improve the quality of Non-Annex I Parties' National Communications (NCs) and Biennial Update Reports (BURs), so they are more widely used for national development planning, climate negotiations, and for funding low emission, climate resilient development projects, while they are also submitted to the UNFCCC in a timely manner	Note: Indicators at the objective level are not provided in the CEO endorsement/results framework but introduced in the 1 st PIR						
	Submission of quality BURs by Non-Annex I Countries.	Only 10 countries submitted 1 st BUR on time (Dec 2014). By December 2015, only 22 countries had submitted BURs.	Up to June 2016, 32 Countries submitted their BURs.	The program aims to have by the end of the program 80 Countries to have submitted their BURs.	<ul style="list-style-type: none"> 36 countries have submitted 1st BUR 6 countries have submitted 2nd BUR BURs showing a steady increase in quality, more countries use 2006 IPCC guidelines, mention clearly mitigation actions and identify gaps and needs.	S	<ul style="list-style-type: none"> Submission level substantially increased Significance of GSP contribution impossible to establish Level of GSP activity and stakeholder satisfaction is good – confirmed by MTR interviews Likely to be achieved
	More frequent and high quality NCs are submitted to UNFCCC.	Average time between the submission of the 1 st and 2 nd NC was 10 years. By December 2015, 17 countries had submitted 3 rd NC,	Up to June 2016, 123 Parties submitted their second NC and 25 submitted their third NCs.	The program aims to have by the end of the project 135 Countries to have submitted their second NCs and 50 countries to have submitted their third NC.	<ul style="list-style-type: none"> 148 countries have submitted 1st NC (5 missing) 126 countries have submitted 2nd NC 38 countries have submitted 3rd NC 2 countries 	S	<ul style="list-style-type: none"> Target almost achieved Significance of GSP contribution impossible to establish Level of GSP activity and stakeholder satisfaction is good – confirmed by MTR interviews

		while 116 had submitted 2 nd NC.			have submitted 4 th NC <ul style="list-style-type: none"> 1 country submitted 5th NC 3 rd NCs show more precise GHG inventories, higher use of IPCC 2006 guidelines, trend among to present more strategic information regarding mitigation and adaptation, e.g. strengthened linkage with elements in NDCs.		Likely to be achieved
OUTCOME 1.1: Sustainable national institutional arrangements for climate change reporting established in non-Annex I countries.	From a representative sample of participating countries, government climate change policy making bodies are represented by all sectors affected by and contributing to climate change.	No baseline established. <i>From a sample of 10 countries, the level participation of government, non-government, private sector and academic representatives in government climate change policy making bodies is</i>	Existing institutional arrangements tend to be weak and with limited representations of non-governmental stakeholders.	In a sample of 10 countries, government climate change policy making bodies are represented at the Director level or above, and equivalent for non-government, private sector, and academic representatives.	No data provided on indicator – but info on 8 regional GSP workshops promoting solid and representative institutional arrangements – incl. number of countries represented and people participating.	MS	<ul style="list-style-type: none"> No sample and indicator data Representation appears to remain a widespread constraint Significance of GSP contribution impossible to establish Level of GSP activity and stakeholder satisfaction is good – confirmed by MTR interviews Likely to be achieved by some,

		<i>identified at the start of the project.</i>					but not all, countries reached by GSP
		No baseline established. <i>From a sample of 10 countries, the percentage of sectors vulnerable to climate change that are represented on government climate change policy making bodies, at the start of the project.</i>	No data provided on indicator (but info on GSP gender toolkit).	From sample, 90% of sectors vulnerable to climate change are represented at government climate change policy making bodies, at the end of project.	No data provided on indicator – but info on GSP produced gender toolkit and COP side event.	MS	<ul style="list-style-type: none"> No sample and indicator data Representation appears to remain a widespread constraint Significance of GSP contribution impossible to establish Unlikely to be achieved, except in some countries
OUTCOME 1.2: NC and BUR data and analyses available and used by a greater number of government ministries and provincial resources managers for planning purposes	The NC/BUR database supports the development of climate change relevant policies.	No baseline established. <i>From a sample of 10 countries the number of climate relevant policies developed between 2005-2010 supported by NC/BUR data.</i>	Lack of technical capacity, limited domestic political relevance of NCs and BURs, which were often only for international MRV requirements.	From a sample of 10 countries, 80% of climate change relevant policies developed during the life of the project, are supported by data or information from the NC/BUR climate database.	No data provided on indicator – but info on GSP promotion in all GSP workshops and bilateral talks with countries on awareness of the domestic relevance of the information in BUR/NC.	MS	<ul style="list-style-type: none"> No sample and indicator data Domestic use of NC/BUR data appears to remain limited Significance of GSP contribution impossible to establish Level of GSP activity and stakeholder satisfaction is good –

							confirmed by MTR interviews Unlikely to be achieved, except in some countries
OUTCOME 2.1: National Teams are better able to apply UNFCCC reporting guidelines for the preparation of National Communications and Biennial Update Reports and countries are equipped with the understanding, technical basis and information needed to identify, prepare, consult and communicate nationally determined contributions to the UNFCCC 2015 agreement.	National experts compiling the NCs and BUR, are trained in the thematic & cross cutting areas defined by the UNFCCC reporting guidelines.	No baseline established. <i>Available country expertise will be measured during the 1st year of the project (possibly at the GSP inception workshop) to establish the baseline in 10 sample countries.</i>	One-on-one support (e.g. peer review of the inventory and/or NC and/or BUR, support on ToR development and guidance on strategic objectives to be achieved through the national projects) provided by GSP to 22 countries.	From a representative sample of countries national experts have training and experience in all thematic & cross-cutting areas defined by the UNFCCC reporting guidelines.	GSP has provided technical support and training: <ul style="list-style-type: none"> • 6 webinars • 2 online training courses • 13 regional and 14 national workshops arranged/co-arranged by GSP • Reviews of 36 NCs/BURs/GHG inventories for 33 countries. 	S	<ul style="list-style-type: none"> • Data at activity level, only partly responding to indicator • Capacities of GSP participants have increased – confirmed by MTR interviews • Level of GSP activity and stakeholder satisfaction is good – confirmed by MTR interviews Likely to be achieved by several, but not all, countries reached by GSP
	Participants rate training, technical backstopping, supporting tools and guidance notes 'high' in helping them to prepare high quality BURs and NCs,		No data provided on indicator.	From a 10 country sample survey of NC/ BUR/ nationally determined contributions compilers. 90% rated the utility of their training as 'high'.	No data provided on indicator.	S	<ul style="list-style-type: none"> • No indicator data • Level of GSP activity and stakeholder satisfaction with training is good – confirmed by MTR interviews

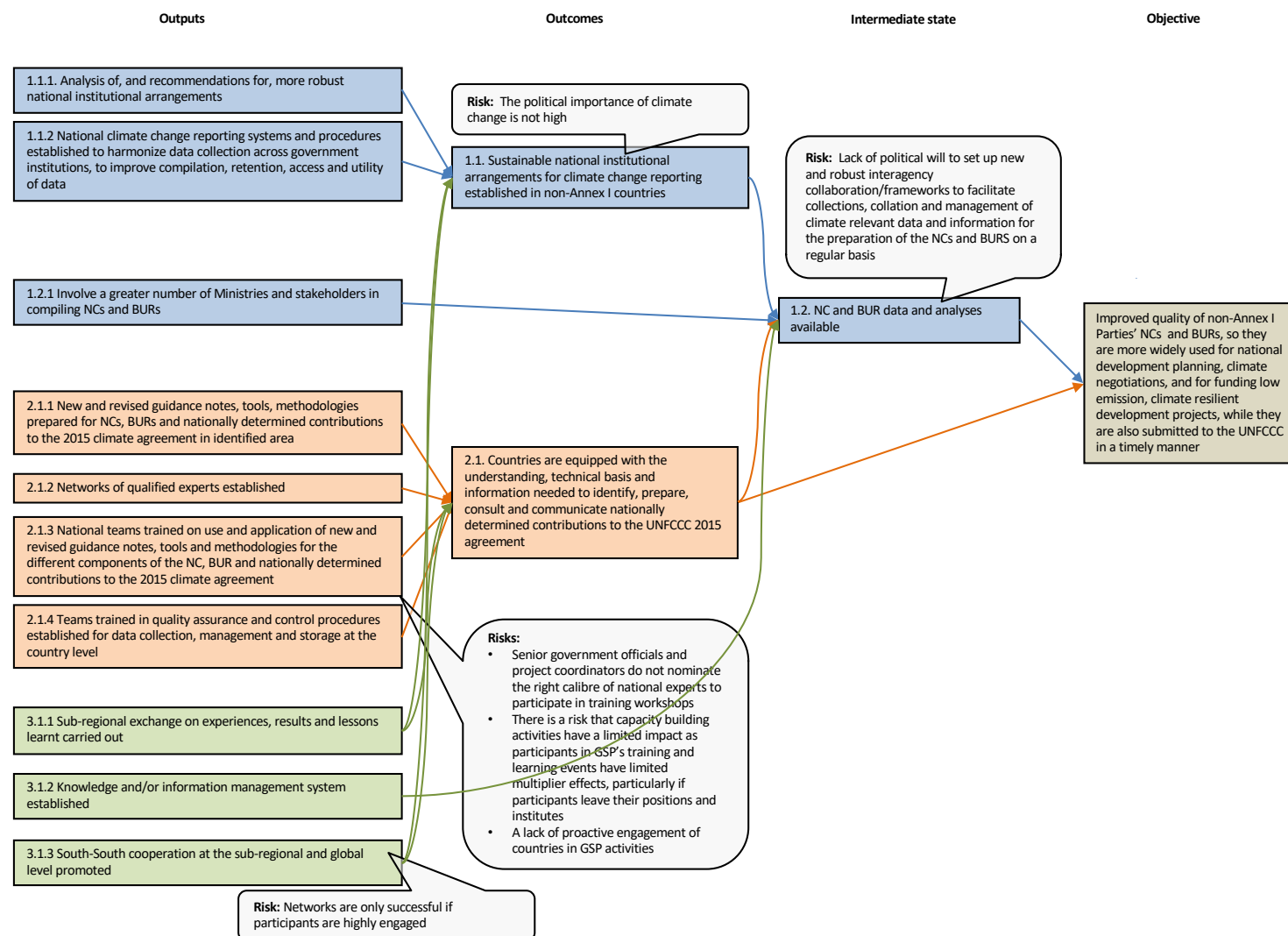
	and in assisting them in the process of identifying, preparing, consulting and communication on nationally determined contributions to the 2015 agreement.						Likely to be achieved
OUTCOME 3.1: National and/or regional climate change information networking enhanced.	In support of components 1 and 2, experts and practitioners rate the networks highly in providing them information and tools improve the quality of their National Communication and Biennial Update Reports.	No baseline established. <i>Ratings taken at project inception.</i>	With the exception of the official UNFCCC website (incl. CGE page), no regional or global platform used on a continuous basis by countries to access information or for knowledge exchange on NCs and BURs. GSP supported the establishment on 30/06/15 of a sub-regional network on GHG inventories.	Surveys of practitioners using the networks rated their utility 25% higher as compared to the baseline.	3 South-South networks established and supported by GSP: <ul style="list-style-type: none"> • West African network on MRV • Latin American network on GHG inventories • Lusophone network on MRV Participants engaged have all expressed high satisfaction.	HS	<ul style="list-style-type: none"> • Target already achieved • Level of GSP activity and stakeholder satisfaction is good – confirmed by MTR interviews • Stakeholders find the regional peer exchanges particularly useful Already achieved

* Colour code:	Achieved
	On target to be achieved
	No on target to be achieved
	Insufficient data

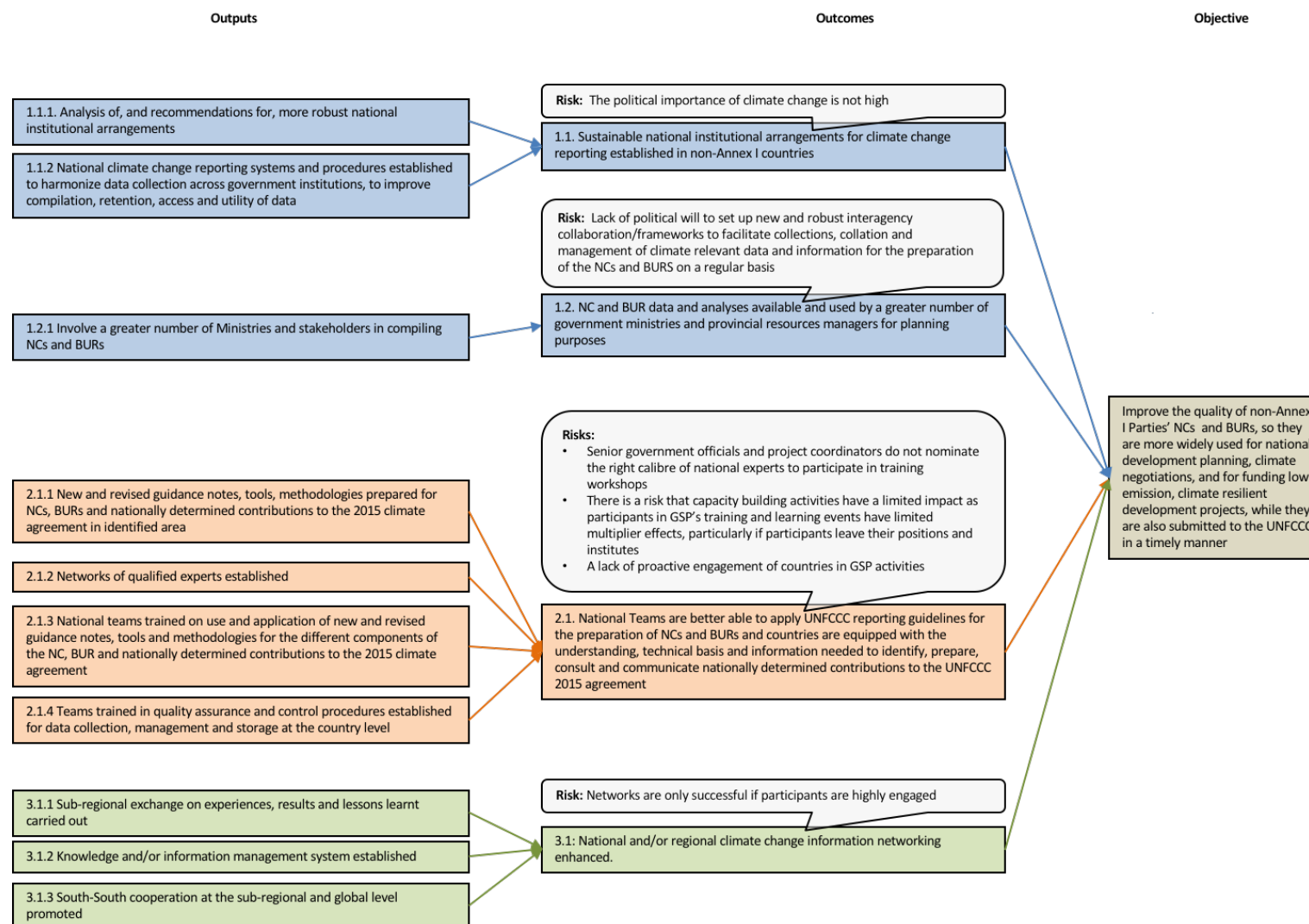
**** Rating code**

HS	Highly satisfactory
S	Satisfactory
MS	Moderately satisfactory
MU	Moderately unsatisfactory
U	Unsatisfactory
HU	Highly unsatisfactory

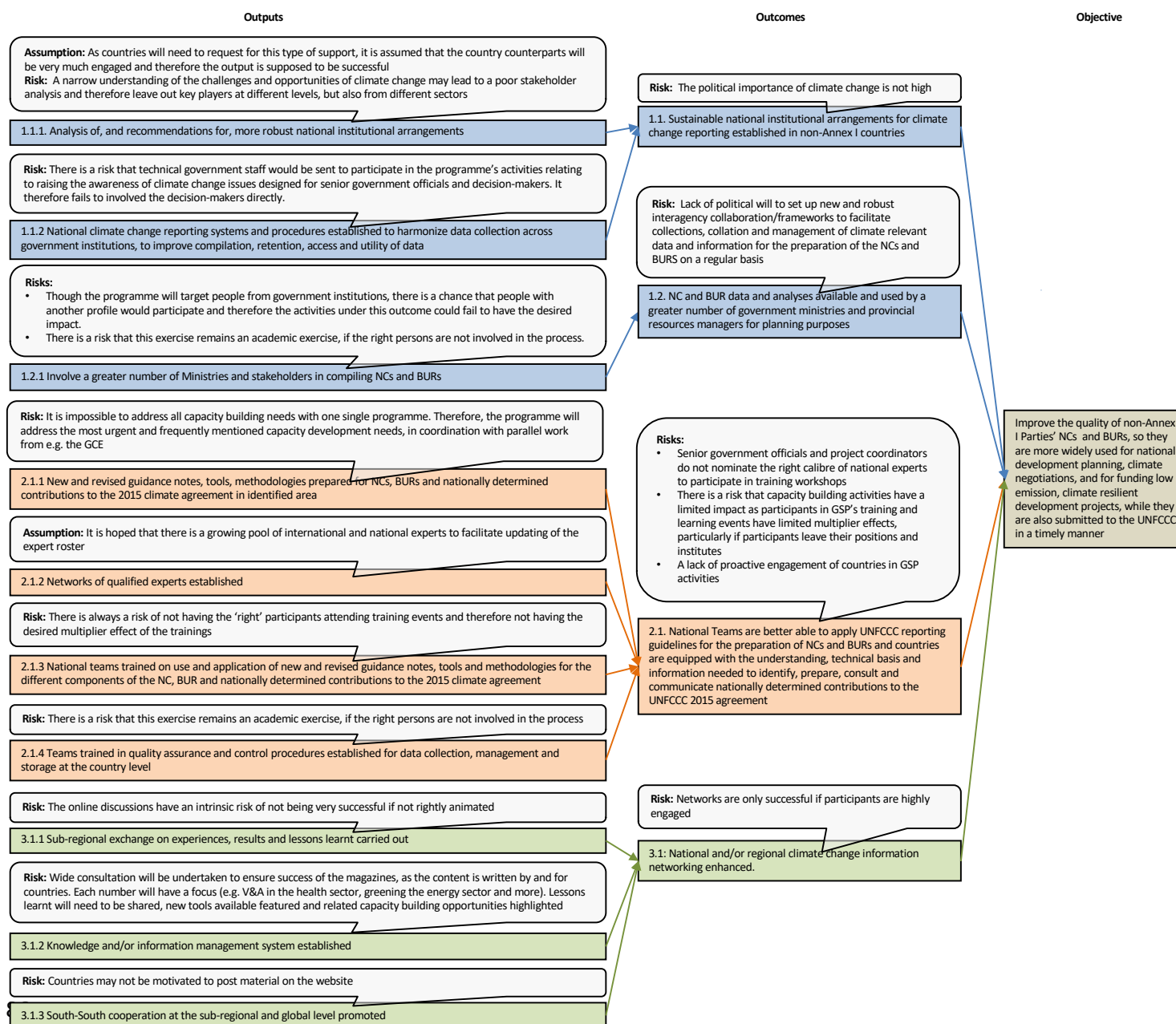
Annex 10: Theory of Change (reconstructed)



Annex 11: Theory of Change (faithful – as per CEO endorsement/results framework)



MTR: The UNDP-GEF Biodiversity Project, Afghanistan



Annex 12: GEF budget and expenditures

UNDP: GEF budget for year 1-3 and spending 2015-Apr 2018, USD

Outcome	50% of total budget in CEO endorsement	Total budget ProDoc	Allocated budget year 1-3	Expenditure by Apr 2018	Variance	Cumulative delivery rate	Overall delivery rate
	(a)	(b)	(c)	(d)	(c) - (d)	(d) / (c)	(d) / (b)
<ul style="list-style-type: none"> Outcome 1.1: Sustainable national institutional arrangement Outcome 1.2: NCs and BURs available and used 	869562.50	605625.00	367425.00	173909.57	193515.43	55%	33%
Outcome 2.1: National Teams able to apply UNFCCC guidelines for NCs and BURs	2104375.00	2135250.00	1371700.00	837475.44	534224.56	64%	41%
Outcome 3.1: Climate change information networking enhanced.	301062.50	359125.00	224475.00	84312.67	140162.33	43%	27%
M&E	50000.00	50000.00	44000.00	14467.88	29532.12	33%	29%
Project Management	250000.00	425000.00	255900.00	116850.59	139049.41	51%	31%
Total Project	3575000.00	3575000.00	2263500.00	1227016.15	1036483.85	58%	37%

UNDP: GEF budget for year 1-2 and spending 2015-Apr 2018, USD

Outcome	50% of total budget in CEO endorsement	Total budget ProDoc	Allocated budget year 1-2	Expenditure by Apr 2018	Variance	Cumulative delivery rate	Overall delivery rate
	(a)	(b)	(c)	(d)	(c) - (d)	(d) / (c)	(d) / (b)
<ul style="list-style-type: none"> Outcome 1.1: Sustainable national institutional arrangement Outcome 1.2: NCs and BURs available and used 	869562.50	605625.00	244590.00	201472.66	43477.34	82%	33%
Outcome 2.1: National Teams able to apply UNFCCC guidelines for NCs and BURs	2104375.00	2135250.00	871300.00	872305.60	-1005.60	100%	41%
Outcome 3.1: Climate change information networking enhanced.	301062.50	359125.00	154650.00	97521.76	57128.24	63%	27%
M&E	50000.00	50000.00	22000.00	14467.88	-3467.88	132%	29%
Project Management	250000.00	425000.00	171350.00	131677.15	39672.85	77%	31%
Total Project	3575000.00	3575000.00	1453250.00	1317445.05	135804.95	91%	37%

UN Environment: GEF budget for year 1-3 and spending 2015-April 2018, USD

Outcome	50% of total budget in CEO endorsement letter	Total budget UNEP's Annexes to CEO Endorsement*	Allocated budget year 1-3**	Expenditure by Apr 2018***	Variance	Cumulative delivery rate	Overall delivery rate*** *
	(a)	(b)	(c)	(d)	(c) - (d)	(d) / (c)	(d) / (a)
<ul style="list-style-type: none"> Outcome 1.1: Sustainable national institutional arrangement Outcome 1.2: NCs and BURs available and used 	869562.50	1133500.00	?	143794.00	?	?	17%
Outcome 2.1: National Teams able to apply UNFCCC guidelines for NCs and BURs	2104375.00	1779000.00	?	249346.00	?	?	12%
Outcome 3.1: Climate change information networking enhanced.	301062.50	212500.00	?	31525.00	?	?	10%
M&E	50000.00	50000.00	?	0.00	?	?	0%
Project Management	250000.00	75000.00	?	516014.20	?	?	206%
Total Project	3575000.00	3275000.00	1761959.00	940679.20	821279.80	53%	26%

* UNEP's Annexes to CEO Endorsement Document does not capture the increased in budget to 3575000.00

Three relatively minor revisions were subsequently made to the UN Environment budget, but these were not broken down by outcome. The main revision was that the annual allocations for 2014-16 were changed/postponed due to the late recruitment of the GSP Manager.

** The figure is based on actual spending in 2015 and 2016, and budgeted amount in 2017.

*** Calculated by UN Environment GSP Manager as UMOJA does not provide a component-based financial breakdown.

**** For outcome spending, the percentage is calculated on the basis of 50% of the CEO endorsement, since the budget in UNEP's Annexes is not based on the current GEF grant allocation but an earlier draft version.

Total GEF budget for GSP

Outcome	CEO endorsement	UNEP		UN Environment	
		UNDP ProDoc	Revised	UNEP's Annexes to CEO Endorsement**	Revised***
Outcome 1.1+1.2	1739125.00	605625.00	581394.00	1133500.00	713000.00
Outcome 2	4208750.00	2135250.00	2195821.00	1779000.00	1435943.00
Outcome 3	602125.00	359125.00	313317.00	212500.00	176057.00
M&E	100000.00	50000.00	59468.00	50000.00	50000.00
Project management*	500000.00	425000.00	425000.00	75000.00	1200000.00
Total	7150000.00	3575000.00		3275000.00	3575000.00

*Note: UNDP and UN Environment do not follow the same practices in terms of staff cost allocations. UNDP apportion staff costs to outcomes according to staff time is spent on outcome delivery; UN Environment book all staff costs under "project management".

** UNEP's Annexes to CEO Endorsement Document does not capture the increased in budget to 3575000.00

*** Figures provided by UNEP GSP Manager as UMOJA and the budget revisions made do not provide a component-based financial breakdown.

Annex 13: List of Non-Annex I Parties participating in GSP

Country	LDC	SIDS	Regional work-shops	National work-shops	Written products	Online training	Ad-hoc support	Reports re-viewed	Total engage-ments
Afghanistan	X		1						1
Albania			2						2
Algeria			1						1
Angola	X		3						3
Antigua and Barbuda		X						1	1
Argentina			2						2
Armenia			1					1	2
Azerbaijan			3						3
Bangladesh	X		3						3
Belize		X		1		1			2
Benin	X		3			1			4
Bhutan	X		3						3
Bolivia								1	1
Bosnia and Her-zegovina			1					1	2
Botswana								2	2
Brazil			1						1
Burkina Faso	X		3				1		4
Burundi	X		1				1		2
Cambodia	X		3				1		4
Cabo Verde		X	2			1			3
Cameroon			1						1
Central African Republic	X		1				1		2
Chad	X		2			1			3
Chile			2			1			3
Colombia			2			1			3
Cook Islands			2						2
Costa Rica			2			1			3
Côte d'Ivoire			2					1	5
Cuba		X				1			1
Democratic Re-public of Congo	X		1						1
Djibouti	X		1						1
Dominican Re-public		X	1	2		1		1	5
Ecuador			1	1		1		2	5
Egypt			2						2
El Salvador			2			1	1		4
Ethiopia	X		1	1					2
Eritrea	X		2						2
Fiji		X	2					2	4
Gabon			2						2

MTR: UNDP-UNEP-GEF Global Support Programme

The Gambia	X		3			1		1	5
Georgia			2					1	3
Ghana			4	1				1	6
Grenada		X						1	1
Guinea	X		3						3
Guinea Equato- rial			2						2
Guinea-Bissau	X	X	4			1		1	6
Guyana		X					1		1
Honduras			2			1	1		4
Indonesia			3						3
Iran			2						2
Iraq			1						1
Jamaica		X						1	1
Jordan			1					1	2
Kazakhstan			1						1
Kenya			2		1				3
Kiribati	X	X	3						3
Korea			1						1
Kyrgyzstan			1						1
Lao PDR	X		3				1	1	5
Lebanon			2			1		1	4
Lesotho	X		2				1		3
Liberia	X		2	1		1			6
Libya			1						1
Macedonia			2		1			1	4
Madagascar	X		1						1
Malawi	X		2				1		3
Malaysia			2						2
Maldives		X	3						3
Mali	X		3				1		4
Marshall Islands		X	2						2
Mauritania	X		2						2
Mauritius		X	1	1			1	1	4
Mexico			1			1			2
Micronesia		X	2						2
Mozambique	X		3						3
Moldova			2						2
Mongolia			2	1				2	5
Montenegro			3		1	1			5
Morocco			1		1				2
Myanmar	X		3						3
Namibia			1						1
Nauru		X	3						3
Nepal	X		3						3
Niue			2						2
Niger	X		4			1			5
Nigeria			3					1	4
Pakistan			3						3
Palau		X	3						3
Palestine			1						1
Panama			2			1			3

MTR: UNDP-UNEP-GEF Global Support Programme

Papua New Guinea		X	2						2
Paraguay			2	1		1	1		5
Peru						1			1
Rwanda	X		2				1		3
Saint Lucia								1	1
Samoa		X	2						2
São Tomé e Príncipe	X	X	3					1	4
Saudi Arabia			1						1
Senegal	X		4		1	1			6
Serbia			1			1			2
Seychelles		X	1						1
Sierra Leone	X		3	2				1	6
Singapore		X	1						1
Solomon Islands	X	X	3						3
Somalia	X		2						2
South Africa			2					1	3
South Sudan	X		2	1					3
Sri Lanka			2			1			3
Sudan	X		1						1
Swaziland			1				1	2	4
Syrian Arab Republic			1						1
Tajikistan			2						2
Thailand			2						2
Timor-Leste	X	X	2						2
Togo	X		4			1		1	6
Tonga		X	2						2
Trinidad and Tobago		X					1		1
Tunisia			1						1
Turkey			1						1
Turkmenistan			1						1
Tuvalu	X	X	3					1	4
Uganda	X		2						2
Uruguay			2			1		2	5
Uzbekistan								1	1
Vanuatu	X	X	3						3
Venezuela				1		1			2
Viet Nam			3						3
Yemen	X		1						1
Zambia	X		2						2
Zimbabwe			1					1	2

Source: GSP team (UNDP and UN Environment), 25 April 2018

LDCs that have never participated in GSP: Comoros*, Haiti*, Tanzania

SIDS that have never participated in GSP: Bahamas, Bahrain, Barbados, Comoros*, Dominica, Haiti*, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname

*Countries which are both LDCs and SIDS

Annex 14: GSP outputs and activities implemented by 25 April 2018

See separate Excel file, which has been elaborated by the GSP team (UNDP and UN Environment).

Annex 15: Assessment of risks in risk log and results framework

No.	Risks	Prob-ability	Inten-sity	Moni-tored	MTR assessment
From risk log					
1.	National experts with limited capacities and/or inadequate climate relevant data, information and appropriate analytical tools for thematic assessments as well as mainstreaming climate change issues into national and sectoral planning frameworks	2	1	(x)	A limitation for national NC/BUR/ inventory processes. Not a risk for GSP delivery, but one of the constraints GSP seek to help countries address.
2.	Poor stakeholder consultation processes	2	4	(x)	A risk for national NC/BUR/ inventory processes. Not a direct risk for GSP delivery, as stakeholder consultation is something GSP can carry out – and does carry out.
3.	Weak institutional arrangements	3	3	(x)	A limitation for national NC/BUR/ inventory processes. Not a risk for GSP delivery, but one of the constraints GSP seek to help countries address.
4.	High staff turnover in many countries	4	4	(x)	A risk for national NC/BUR/ inventory processes. Also a direct risk for GSP, as people trained may move to other jobs outside NC/BUR/GHG inventory processes. A widespread problem.
From results framework					
5.	1.1: The political importance of climate change is not high				This can be a major impediment for the NC/BUR/GHG inventory processes, and thus hamper the ability of people trained by GSP to apply the knowledge and skills obtained.
6.	1.2: Lack of political will to set up new and robust inter-agency collaboration/frameworks to facilitate collections, collation and management of climate relevant data and information for the preparation of the NCs and BURS on a regular basis				This can be a major impediment for the NC/BUR/GHG inventory processes, and thus hamper the ability of people trained by GSP to apply the knowledge and skills obtained.
7.	2.1: Senior government officials and project coordinators do not nominate the right calibre of national experts to participate in training workshops				A direct risk for GSP, as the people trained may not be the ones doing the jobs trained for. A widespread problem for GSP, which they try to handle by explaining clearly for whom and what purpose the training is. However, countries may still choose to nominate the wrong people for non-technical reasons. UN Environment-GSP in particular, has rejected the participation of some nominees to prevent this problem.
8.	2.1: There is a risk that capacity building activities have a limited impact as participants in GSP's training and learning events have limited multiplier effects, particularly if participants leave their positions and institutes				A risk for national NC/BUR/ inventory processes. Also a direct risk for GSP, as people trained may move to other jobs outside NC/BUR/GHG inventory processes. A widespread problem.
9.	2.1: A lack of proactive engagement of countries in GSP activities				This risk is largely negligible, since participation is based on demand/request, the only exception being when workshop participants are disinterested or passive (related to risk no. 7).
10.	3.1: Networks are only successful if participants are highly engaged				Not phrased as a risk, but similar to risk no. 9.
11.	1.1.1: A narrow understanding of the challenges and opportunities of climate change may lead to a poor stakeholder				A risk for national NC/BUR/ inventory processes. Unlikely risk for GSP, since GSP deliberately promotes cross-sectoral stakeholders participation.

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	analysis and therefore leave out key players at different levels, but also from different sectors	
12.	1.1.2: There is a risk that technical government staff would be sent to participate in the programme's activities relating to raising the awareness of climate change issues designed for senior government officials and decision-makers. It therefore fails to involve the decision-makers directly.	So far, GSP has mainly targeted the technical level. Could be a risk if GSP engages more at the political level without tailoring activities to this, e.g. training workshops may not be the best way to engage policy-makers.
13.	1.1.2: Though the programme will target people from government institutions, there is a chance that people with another profile would participate and therefore the activities under this outcome could fail to have the desired impact.	Similar to risk no. 7.
14.	1.1.2: There is a risk that this exercise remains an academic exercise, if the right persons are not involved in the process.	A limitation for national NC/BUR/ inventory processes. Not a risk for GSP delivery, but one of the constraints GSP seek to help countries address.
15.	2.1.1: It is impossible to address all capacity building needs with one single programme. Therefore, the programme will address the most urgent and frequently mentioned capacity development needs, in coordination with parallel work from e.g. the GCE.	Not a risk, just highlighting the need for strategic choices and focus.
16.	2.1.3: There is always a risk of not having the 'right' participants attending training events and therefore not having the desired multiplier effect of the trainings.	Similar to risk no. 7.
17.	2.1.4: There is a risk that this exercise remains an academic exercise, if the right persons are not involved in the process.	Similar to risk no. 7.
18.	3.1.1: The online discussions have an intrinsic risk of not being very successful if not rightly animated.	Easily addressed by GSP, by engaging a skilled facilitator.
19.	3.1.2: Wide consultation will be undertaken to ensure success of the magazines, as the content is written by and for countries. Each number will have a focus (e.g. V&A in the health sector, greening the energy sector and more). Lessons learnt will need to be shared, new tools available featured and related capacity building opportunities highlighted	Not a risk, a description of implementation approach.
20.	3.1.3: Countries may not be motivated to post material on the website	Currently not a relevant risk, as UNDP-GSP is posting all materials on GSP website.

Annex 16: Audit trail from received comments on draft MTR report

The response of the MTR team to all comments received on the draft report from project stakeholders are logged in an audit trail table, see separate Word document.

Annex 17: Relevant midterm tracking tools

See separate Excel file.