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FINAL EVALUATION

CONTRACT No. IC-2018-075

**Final Evaluation of the Project Sixth National Communication of Mexico to
the United Nations Framework Convention on Climate Change and its
Biennial Update Report (BUR)**

Evaluation Report

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Title of Project backed by UNDP and funded by GEF

“Sixth National Communication of Mexico to the United Nations Framework Convention on Climate Change (UNFCCC)” (Sixth NC).

Identification numbers of the UNDP and GEF project

UNDP PIMS# 4933; GEF project ID# 5140

Evaluation period and date of the evaluation report

The final evaluation (FE) was undertaken between August 25 and November 25 of 2018. The draft of the Final Evaluation Report was submitted to the United Nations Development Program (UNDP) Country Office on November 21, 2018 and the Final Report on January 23, 2019.

Region and countries included in the project

Mexico.

Operational Program/Strategic Program of the GEF

Climate Change, GEF 5 objective CCM-6.

Partner for project implementation and other associates

Instituto Nacional de Ecología y Cambio Climático. National Ecology and Climate Change Institute (INECC abbreviation in Spanish).

Members of the evaluation team

The evaluation was conducted by Laura del Pilar Magdaleno Chapa.

Acknowledgements

The evaluator is grateful for contributions from the people interviewed, which enriched the evaluation. If one considers that the FE was conducted almost at the closure of the 2012-2018 administration of the Mexican Federal Government, an additional effort was required by the public servants interviewed, as well as by the Project Coordinator Unit (Gerardo Mendiola & Berta Helena de Buen) and the Project Administration Unit (Juan Carlos Hernández) to whom the consultant is most grateful for their disposition and openness during the interviews. The invaluable support provided by the Country Office (Gerardo Arroyo and Arianne Hidalgo) during the evaluation period is also acknowledged.



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Abbreviations and acronyms

1NC	First National Communication from Mexico to the United Nations Framework Convention on Climate Change
2NC	Second National Communication from Mexico to the United Nations Framework Convention on Climate Change
3NC	Third National Communication from Mexico to the United Nations Framework Convention on Climate Change
4NC	Fourth National Communication from Mexico to the United Nations Framework Convention on Climate Change
5NC or Fifth NC ¹	Fifth National Communication from Mexico to the United Nations Framework Convention on Climate Change
6NC or Sixth NC	Sixth National Communication from Mexico to the United Nations Framework Convention on Climate Change
AMEXCID	Agencia Mexicana de Cooperación para el Desarrollo [Mexican Agency for Cooperation in Development]
BUR	Biennial Update Reports
CESPEDES	Comisión de Estudios del Sector Privado para el Desarrollo Sustentable [Study Commission of the Private Sector for Sustainable Development]
CICC	Comisión Intersecretarial de Cambio Climático [Inter-secretarial Commission on Climate Change]
CO	UNDP Country Office
CONUEE	Comisión para el Uso Eficiente de la Energía [Commission for the Efficient Use of Energy]
DOF	Diario Oficial de la Federación [Official Daily of the Federation]
EA	Execution Agency
F&E	Follow up and Evaluation
FE	Final Evaluation
FUMEC	Fundación México Estados Unidos para la Ciencia [The US – Mexico Foundation for Science]
GEF	Global Environmental Facility
GHG	Greenhouse Gases
GIZ	[German Agency for Cooperation in Development]
HFC	Hydro Fluoro Carbons
IA	Implementation Agency
IC	Individual Contract
ICA	International Consultancy and Analysis Evaluation

¹ In official documents, it is referenced in both forms.



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INE	Instituto Nacional de Ecología [National Ecology Institute, old name]
INECC	Instituto Nacional de Ecología y Cambio Climático [National Ecology and Climate Change Institute,]
INEGEI	Inventario Nacional de Gases y Compuestos de Efecto Invernadero [National GHG Database]
IPCC	Intergovernmental Panel on Climate Change
LEDS	Low Emissions Development Strategies
LGCC	Ley General de Cambio Climático [General Law for Climate Change]
MTE	Mid-Term Evaluation
NAMA	Nationally Appropriate Mitigation Action
NC	National Communication
NDC	Nationally Determined Contribution
PAU	Project Administrative Unit
PCU	Project Coordination Unit
PECC	Programa Especial de Cambio Climático [Special Climate Change Program]
PIR	Project Information Report
Prodoc	Project Document
SC	Service Contract
SEDEMA	Secretaría de Medio Ambiente del Gobierno de la Ciudad de México [Ministry of the Environment of the Mexico City Government]
SEMARNAT	Secretaría de Medio Ambiente y Recursos Naturales [Ministry of the Environment and Natural Resources]
SHCP	Secretaría de Hacienda y Crédito Público [Ministry of the Treasury]
SINACC	Sistema Nacional de Cambio Climático [National Climate Change System]
SRE	Secretaría de Relaciones Exteriores [Ministry of Foreign Affairs]
ToR	Terms of Reference
UNDP	United Nations Development Program
UNFCCC	United Nations Framework Convention on Climate Change



1. Executive Summary

Project Information Table:

Mexico: "Sixth National Communication of Mexico to the United Nations Framework Convention on Climate Change (UNFCCC)" (Sixth NC)	
GEFSEC ID:	5140
Agency (s):	UNDP
Agency ID:	4933
Executor Agency	Instituto Nacional de Ecología y Cambio Climático (INECC abbreviation in Spanish). National Ecology and Climate Change Institute
Focal area:	Climate Change
Type of Project:	Full-Size Project
Country(ies):	Mexico
Name of Project:	Sixth National Communication of Mexico to the United Nations Framework Convention on Climate Change (UNFCCC)" (Sixth NC)
Project Subsidy GEF	US\$ 3,636,364.00
Agency commission	US\$ 363,636.00
Source of funds:	Fiduciary Fund of Global Environmental Fund (GEF)
Total financing:	US\$ 4,000,000.00
Approval date PIF	01 November 2012
Support from CEO	08 September 2014
Start date of Prodoc	June 2015
Finish date	August 2017 The project had an extension from September 2017 to June 30, 2019.

(PNUD, 2015 a)

Project description

The project objective was to strengthen institutional capacity in Mexico in order to integrate strategies for climate change within the framework of national development priorities. The aforementioned strategies were attained through the execution of activities necessary to prepare the Sixth National Communication and its second Biennial Update Reports (BUR) -, to comply with its commitments to the UNFCCC, in accordance with articles 4.1 and 12.1, of the Convention and Decision 2/CP.17. The latter by means of five foreseen results: 1. National GHG Database, updated and enhanced; 2. Develop knowledge and inform on mitigation actions, including the Low Emissions Development Strategies (LEDS) specific for Mexico; 3. Evaluate and report vulnerability data and adaptation options; 4. Compile and update relevant information on National Circumstances, and 5. Publish and present the Sixth NC and the second BUR to the UNFCCC.



The integration process for the Sixth NC considered consultation with interested stakeholders, development of capacities, knowledge enhancement, tools and processes, assistance to decision makers, development of inter-institutional synergies between governments (federal, state and municipal) and different sectors to generate and foster the flow of information, and actions to strengthen institutions and work groups.

The executor agency was the INECC and the implementation agency was the UNDP, which provided technical and administrative support to INECC through the Coordination and Administrative Unit of the Project, respectively. These units were housed in the INECC in order to provide a more effective and efficient support.

The GEF provided financial support and in-kind contribution by the executor agency (INECC). No other sources of funding were available for the Sixth NC Project, but synergies were established with other projects such as the Project 00086487 Platform for Cooperation between Canada and Mexico on Climate Change and Green Growth (from now on Project Canada Platform).

The execution period for the project was 2015-2017 and it had an extension to 2018. As the Mid-Term Evaluation (MTE) points out, three fundamental factors existed that established the times and timeline of the Project: the change of Federal Administration in 2012; the reorientation of activities that had to be implemented in order to focus national climate policy actions to comply with the goals established by Mexico in the Paris Agreement in 2016 and modification of the legal and administrative structure linked to addressing climate change during the period 2013-2016, resulting from the publication of the General Law of Climate Change in 2012 (DOF, 2012).

Summary of Evaluation Grades

- The Project:
 - was relevant since it included and supported National priorities on development established in the National Development Plan 2013-2018 and in the Special Climate Change Program 2014-2018.
 - was effective and generated very satisfactory results, by attaining the five planned objectives, (the Sixth NC was presented within the framework of 24th edition of the Conference of the Parties of the Climate Change Convention (COP24), that took place in Katowice, Poland in December 2018 and was published (<https://cambioclimatico.gob.mx/>) (INECC, 2018), , it also achieved its objectives by implementing the planned strategies.
 - was very efficient when it implemented the activities based on the planned budget and in using local capacity during its execution.
 - Based on an established sustainability strategy of the Project that makes it probable for Mexico to continue to generate NC and that the benefits attained by the Project will continue when it concludes.
 - had a significant impact by developing knowledge, capacities, methodologies, tools, inter-institutional synergies and public policies that contribute to stopping climate change.

The following tables show the Project Yield Grades vs. Evaluation Criteria and Yield vs. Planned Results.



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Project Yield Grades			
1. Follow-up and Evaluation	Grade	2. Execution of the IA and EA:	Grade
Design of entry to F&E	S	Quality of UNDP implementation	HS
Execution of the F&E plan	MS	Quality of execution: executor organism	HS
General Quality of F&E	S	General quality of implementation and execution	HS
3. Evaluation of results	Grade	4. Sustainability	Grade
Relevance	S	Financial resources:	S
Effectiveness	HS	Socio-political:	S
Efficiency	HS	Institutional framework and management:	HS
General grade of Project results	HS	Environmental:	S
		General probability of sustainability:	ML

IA: Organismo de Aplicación. EA: Organismo de Ejecución. HS: Highly Satisfactory, S: Satisfactory, MS: Moderately Satisfactory, ML: Moderately Likely.

Source: Table from the Evaluation Guide PNUD-GEF (PNUD, 2012), fed based on (PNUD, 2015 a), (PNUD , 2018 a) (PNUD, 2018 b), (INECC, 2018), (PNUD, 2018 c), (CMNUCC, 2004), (CMNUCC, S. F.) and interviews.

In the following table one can see the Sixth NC Project Yield Grade for Global Planned Result.



Yield Grade for Global Planned Result of the Sixth NC Project						
Objective/ result	Indicator Description	Base Line	Foreseen Result	Result	Source of verification	Grade
General Project Objective: Capacity strengthen in the integration of National strategies for climate change within government priorities at the same time that commitments to the UNFCCC are met	1. National GHG Database enhanced and updated to 2014 (1990-2014).	1. Fifth NC & first BUR;	1. 6NC & BUR;	1. National Database 1990-2015 enhanced and updated. An additional year was included and updated (2015) to that planned in the Prodoc.	- Prodoc: (PNUD, 2015 a)	
	2. LEDS developed for different sectors and policies and GHG mitigation activities implemented or contemplated updated to 2016.	2. Fifth NC & first BUR;	2. 6NC & BUR;	2. LEDS developed for energy, industry, forestry, agriculture and water sectors, presentation by Nationally Appropriate Mitigation Actions NAMAs, by Federal entity and development of 7 technical road maps for emissions mitigation.	- Audit of 2016: (Prieto, Ruiz de Velasco y Cía. S. C., 2016)	
	3. Impacts, vulnerability and adaptation options evaluated, and information updated to 2016.	3. Fifth NC;	3. 6CN;	3. Studies and tools developed, such as the National Vulnerability Atlas to Climate Change, the Water Vulnerability Atlas, the Local Guide to High Impact Activities in relation to Mitigation and Adaptation and a platform is under development to gather adaptation measures.	- 2017 PIR: (PNUD, 2017 a)	1. HS
	4. National circumstances and additional information updated and described.	4. Fifth NC & first BUR;	4. 6NC & BUR;	4. National circumstances updated to 2018.	- Annual Report 2017: (PNUD , 2018 f)	2. HS
	5. Sixth NC and BUR presented.	5. Fifth NC.	5. 6NC.	5. Results of the Sixth NC and the BUR presented and the final draft of the sixth NC and BUR in final edition.	- Mid-Term Evaluation (EMT): (PNUD, 2018 b)	3. HS
					- Sixth NC: (INECC, 2018)	4. HS
					- Combined Delivery Report: (PNUD, 2018 c)	5. S
					- Interviews http://encuentronacional.cambioclimatico.gob.mx/	

HS: Highly Satisfactory, S: Satisfactory.

Source: document developed by evaluator 2018, based on (PNUD, 2012), (PNUD, 2015 a), (PNUD , 2018 a) (PNUD, 2018 b), (INECC, 2018), (PNUD, 2018 c), (CMNUCC, 2004), (CMNUCC, S. F.) and interviews.



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Summary of Conclusions

- The Project was effective and generated very satisfactory results, when it attained compliance of its five planned objectives and these through the implementation of planned strategies.
- The Project generated and/or updated research, data, tools, platforms and development of capabilities regarding GHG emissions databases, mitigation activities and development of low emissions strategies (LEDS), adaptation and vulnerability to climate change; it also increased knowledge and awareness among the public on climate change, its impacts and actions that can be taken to slow it down, hence, it achieved its objective to “strengthen institutional capacity to establish climate change strategies within national development priorities.”
- The Project structure, strategies and activities supported the harmonization, adjustment and updating of Mexican climate policy to move towards compliance with the goals of the Paris Agreement on Mexico’s part.
- First NC where all areas of the lead institution took part, which provided across the board interaction for climate change operation within the INECC.
- The Sixth NC and the INECC were built mutually, since the latter was instituted in 2012 based on article 13 of the LGCC, it was also in process of consolidation based on new responsibilities and organizational structure provided by the new law.
- The integration process for the Sixth NC was a key factor to institutional strengthening of the INECC, since it served as a linking agent for activities and a communication bridge in an institution under construction (group process of growth).
- The Project had adequate leadership, with permanent involvement from the higher levels of INECC, UNDP through the Project Board.
- UNDP represented a key factor in technical, administrative and catalyzing aspects.
- UNDP provided a Country Office, a Coordination Unit and an Administrative Unit, all with great experience and high sensitivity to institutional context, needs and dynamics of the INECC.
- The fact that the results of assessments of prior Communications were not delivered at the beginning of the design process of the new NC, made that the lessons learned, and recommendations derived from them could not be taken in account for the new project. The completion of the Midterm Review outside the intermediate stage of a project, generated the lack of performance data in the midterm, which are necessary to redirection or strengthen project’s actions.

Summary of Lessons Learned

- Establishment of a solid leadership for the Project had a significant influence on moving forward and attaining project objectives.
- Project flexibility to adjust to national and international context helped in attaining more effective results for the country.
- Establishment of a process that includes participation and transparency implemented by the INECC in order to prepare the Sixth NC through a close and continuous communication (by means of workshops, work meetings, forums, training, etc.) with priority sectors, contributed to establishing



bridges of communication between them and the institution, facilitated contribution of data from the sectors, as well as support from INECC to strengthen methodologies (for estimating and reducing emissions etc.) in different public and private institutions.

- The industrial sector pointed out the fact that INECC had not undertaken a final validation of the information based on the data provided by the sectors in working meetings, which affected the transparency of the process and the acceptance of these figures as valid by some stakeholders of the private sector (mainly the costs of the Nationally Determined Contributions, NDC).

Summary of Recommendations

Recommendation	Responsible
Design:	
Integrate from the start of the design of National Communications, the vision of stakeholders outside of INECC on what Mexico requires of and in an NC.	INECC/UNDP
For the development of the Seventh National Communication, establish work groups to identify the ideal manner to manage and include the information in the document, so that it may provide better decision-making support (considering the instructions of the UNFCCC with respect to the objective and focus of the NCs).	INECC/PNUD
Establish from the start of the Project an outline with comments on the questions that need answering in the document that will become the National Communication.	INECC/UNDP
Include in the design of the MTE and TE interviews with external stakeholders.	UNDP/INECC
Execution:	
Establish a reporting system on climate change that will align the reports and make more effective, efficient and sustainable collection of national information from all stakeholders for preparation of the NC.	UNDP/INECC
Define a validation process for the information generated from the data provided by the private sector.	UNDP/INECC
Work even closer with the local governments (state and municipal) and in a more systemic manner.	INECC/UNDP
Establish an effective measure for management so that the delivery of de NC chapters can be on time and according to form.	INECC/UNDP
Sustainability	
Conduct a meeting (INECC, SEMARNAT, UNDP) on lessons learned and results of the integration process for the Sixth NC.	PNUD/INECC
Hold a workshop on lessons learned with CICC and external stakeholders that will allow socializing the results and enhancement of the design of the Seventh NC.	INECC/UNDP
Identify strategic Project stakeholders that will promote the climate agenda and the development of the NC in the National Development Plan.	INECC



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Generate a summary of activities regarding the development of capacities and institutional strengthening attained with the Sixth NC to present to the new administration of the INECC and SEMARNAT.	INECC/UNDP
Add the results of the Sixth NC to the cooperation agenda of UNDP with the new administration.	UNDP
Design a monitoring system for tracking the degree of satisfaction of the external stakeholders and of the quality of the information provided, in order to establish a mechanism of joint responsibility for the report.	UNDP/INECC
Establish a national reporting system regarding climate change.	UNDP/INECC

“Communication, helped us communicate”

Amparo Martínez.



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2. Introduction

The United Nations Development Program (UNDP) and the National Institute of Ecology and Climate Change (INECC) with resources from the Global Environmental Fund (GEF), designed and prepared the Project **“Sixth National Communication of Mexico to the United Nations Framework Convention on Climate Change (UNFCCC) (from now on Project Sixth NC) and its Second Biennial Update Report (BUR)”** (Project “Full Size”, National implementation modality that ended in 2018) (PNUD, 2015 a). The present Final Evaluation (FE) of Results of the Project was generated based on the previous and the guidelines from the GEF-UNDP. The evaluation was conducted between August 25 and November 25, 2018, based on the objectives and scope established in the Terms of Reference (ToR) (PNUD, 2018 a)(Annex 1).

2.1 Purpose of the evaluation

Based on the ToR, the Evaluation objective is to know if the planned results and the general and specific objectives of the Sixth NC Project were met, as well as how to identify the factors (causes) that established them. When speaking of the Sixth NC Project, reference is made to the process of integration of the Sixth NC that includes the activities of planning, execution and generation of results during the period 2015-2018 to integrate the Sixth NC & BUR. The specific objectives of the evaluation were:

1. compile and analyze the results² of the Sixth NC Project.
2. generate conclusions³ on the Sixth NC Project.
3. identify lessons learned⁴ from the Sixth NC Project.
4. provide recommendations⁵ for enhancing these types of initiatives and for the sustainability⁶ of the activities and benefits derived from them.

2.2 Scope of the evaluation

- a) The Project was conducted according to five criteria: relevance, effectiveness, efficiency, sustainability and impact of the Sixth NC Project (definitions in Annex 2).
- b) It was developed in close coordination with UNDP and INECC.
- c) It was based on the ToR, the Consultant was not responsible for validating the technical quality of products, studies, databases, tools, etc., that are part of the Sixth NC.

² Product, effect or impact (intentional or not, positive and/or negative) of an intervention for development (OECD, 2010).

³ Success and failure factors of the intervention reviewed are pointed out, with special attention to the desired and not desired results and impacts and, in a more general way, to other strengths and weaknesses. A conclusion is based on the gathering of data and analysis performed, through a chain of transparent arguments (OECD, 2010).

⁴ Generalizations based on evaluation experiences of projects, programs or policies. The lessons highlight strengths or weaknesses in preparation, design and application that affect yield, results and impact (PNUD, 2012).

⁵ Proposals that have as an objective to better effectiveness, quality or efficiency of an intervention for development, redesign of objectives and/or reassign resources (OECD, 2010).

⁶ Measure in which the benefits could continue, within or outside of the scope of the project, from a particular project or program after that GEF or external assistance has concluded.



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- d) It was conducted based on desk work and interviews in Mexico City, as well as conference call with stakeholders from other states.

Limits of the evaluation:

1. the FE was performed before the Sixth NC and BUR were published (in order to avoid that the change of the incoming administration would affect the possibility of interviewing all the stakeholders involved).
2. the list of stakeholders to be interviewed in the ToR established only those involved directly with the process of integration of the Sixth NC in Mexico City. This limited knowledge of the perception of those indirect and external to the Project SC (people that contributed information and users of the Sixth NC) and of different states in the country. In order to address this, the list of stakeholders was expanded.

2.3 Evaluation methodology

The FE was done based on the Guidelines for Final Evaluations of Projects Supported by UNDP and Funded by GEF (PNUD, 2012) (from now on Guidelines UNDP-GEF).

Because the evaluation is focused on knowing if the general and individual objectives of the Project Sixth NC were met, these are presented in the following as a reference framework (PNUD, 2015 a):

General Objective:

Strengthen institutional capacity to integrate climate change strategies in the National Development Priorities

Individual Objectives

1. Update and enhance the National Greenhouse Gases and Compounds Database.
2. Generate knowledge on low emissions development strategies (LEDS) in Mexico and update and report implementation of mitigation activities.
3. Evaluate impacts, vulnerability and adaptation options based on ecosystems, human communities and risk reduction of disasters at a regional, local and national level and the impacts and vulnerabilities reported and adaptation activities have been updated.
4. Compile and update relevant information [to establish the National circumstances and other topics linked to mitigation and adaptation].
5. Integrate the Sixth National Communication and its Biennial Report and obtain approval from the Intersecretarial Commission on Climate Change (CICC).



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Nacional

In order to attain these objectives, the strategy of the Sixth NC Project was to help the Mexican Government conduct the necessary activities to prepare the Sixth NC and the Second BUR, so that Mexico could comply with its commitments to the UNFCCC. This by:

- a) a consultation process with the interested parties (workshops and seminars at a regional level).
- b) enhance the data validation process, quality control and the institutional structure for developing Greenhouse Gas emissions databases (GHG).
- c) enhance knowledge on clean technologies and on low emissions (LEDs) and the development of capacities on these subjects.
- d) assist decision makers in the development of policies and activities and to establish research priorities.
- e) evaluate vulnerability and adaptation options.
- f) strengthen technical workgroups and the flow of resources for preparing the NC in a continuous manner.
- g) guarantee the integration of the perspective of gender in key products.
- h) conduct consultations with experts at all institutions and interested parties involved in the preparation of the Sixth NC (federal and state).
- i) enhance participation of the ministries and state governments in the process of integration of the Sixth NC, in particular through the Inter-secretarial Commission for Climate Change (CICC abbreviation in Spanish).

Considering the previous, the following was evaluated:

1. **the relevance** that the integration project had on the Sixth NC and its results on Mexican climate policy and to support national development priorities.
2. **the effectiveness** of planning and design, as well as execution, of the Sixth NC Project.
3. **the impact** that the Project Sixth NC had on putting into practice the conditions to foster lasting enhancements on the socioeconomic and environmental state of Mexico.
4. **the efficiency:** of the project to implement the planned activities based on planned budget and to utilize local capacity during its execution.
5. **the sustainable strategy** developed for Mexico to continue integrating national communications once the Sixth NC Project is finalized and developing and integrating strategies for climate change within the framework of national development priorities.

Hence, documented information of the Project (Annex 3) was reviewed and 30 key stakeholders were interviewed (direct and indirect) for the Sixth NC Project in order to know their perception of the integration process of the Sixth Communication and its results. The list of stakeholders established in the ToR was expanded, substituting INECC directors (that had been previously interviewed during the MTE) with representatives from different sectors and states (Annex 4).

To conduct the interviews, a guideline of questions applicable by sector was developed, role in the integration process of the Sixth NC and type of stakeholder, accompanied by specific indicators for measuring different aspects to be evaluated (Annex 5). The information obtained during the interviews



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was verified through documents in all cases where it was feasible. The summary of the interviews is presented in Annex 6. Also, the results of the Mid-Term Evaluation (MTE), conducted in July 2018, were considered.

2.4 Structure of the evaluation report

The evaluation report complies with the structure and contents established in the ToR and UNDP-GEF guidelines. The report includes an executive summary, findings, results, lessons learned and conclusions on the integration process of the Sixth NC, as well as, recommendations to enhance this type of project and for their sustainability once the Project is finished. The information is provided in descriptive format and in tables (globally and by planned results).

3. Project description and context development

3.1 Project startup and duration

The planned project duration was of three years (June 2015-August 2017) and it had an extension from September 2017 to June 30 of 2019, basically to support a refocus of activities that Mexico had to make in order to direct its activities for the National climate policy towards compliance with the goals it established in the Paris Agreement of 2016.

3.2 Issues that the project sought to address

In 2012, Mexico passed the General Law for Climate Change (LGCC) where it commits to reduce its greenhouse gas emissions (GHG) 30% by 2020 and 50% by 2050. On the other hand, Mexico has presented fifth National Communications to the UNFCCC and is interested in continuing to provide national updates to the national and international community. Also, the LGCC established the creation of the INECC (previously the National Ecology Institute -INE-), as the organization in charge of the integration of the Sixth National Communication. INECC was also in a consolidation process due to new functions and organic structure provided by the 2012 law. At the sixteenth session, COP 16 decided that developing countries should also present biennial update reports (BUR) that contain updates, among others, of the national greenhouse gas databases and mitigation measures implemented, which is why Mexico needs to present its Second Biennial Update Report.

However, as a facilitating activity, the Sixth NC was not focused on addressing issues, but rather on generating and updating information and knowledge, developing capacities and tools, to strengthen institutions and inter-institutional coordination, incorporate the perspective of gender in climate policy to allow the integration of climate change strategies within the framework of Mexico's development policies and to comply with its commitments to the UNFCCC (specifically the integration and presentation of the Sixth NC and Second BUR).



The former was planned to be developed throughout five specific objectives on the topics of: emissions database, mitigation activities and low emissions development strategies (LEDS), evaluation of vulnerability impacts, and identification of adaptation measures based on ecosystems, generation and compilation of relevant data for establishing National circumstances for Mexico around climate change and integration and presentation of the Sixth NC and its Second BUR to the UNFCCC.

3.3 Immediate and development Project objectives

Immediate objective (PNUD, 2015 a): strengthening national and local mitigation and adaptation capacities to climate change.

Development objective (PNUD, 2015 a): the three levels of government, the private sector, academia and society in general have strengthened their capabilities to turn back environmental deterioration and to attain sustainable development of natural resources through the incorporation of the environmental perspective in sustainable development, development of low emissions and green economy, through work with the legislature, and programing processes of actions and decision making.

3.4 Foreseen results and reference indicators established

Expected Result	Reference Indicator
1. National GHGs Emissions Database, enhanced and updated to 2014 (1990-2014).	<ul style="list-style-type: none"> - Evaluation and review of procedures for development and application of the database in lieu of increasing the current system evaluated and reviewed. - Best practices adapted in the generation of databases. - Estimation of hydrofluorocarbon (HFC) emissions and established tendencies in collaboration with the Mexican Office of the Montreal Protocol. - INEGI updated to 2014 (1990-2014) for all GHGs emissions and the report prepared.
2. LEDS developed for different GHGs mitigation sectors, policies and activities implemented or considered and updated to 2016.	<ul style="list-style-type: none"> - LEDS developed for the energy, industry, forestry, agricultural and water sectors. - Tools for implementing policies related to LEDS, and co-benefits analyzed for GHGs mitigation measures. - Technological road maps developed for the energy, industry, forestry, agricultural and waste sectors. - Evaluation and update of GHG mitigation policies and activities implemented or considered up to 2016 at a National, state and local level. - Studies based on an integrated, multidimensional evaluation of ecosystem impacts, vulnerability and adaptation activities, programs and strategies. - Evaluation and update of GHG mitigation policies and activities implemented or considered up to 2016, at a National, state and local level.
3. Impacts, vulnerability and adaptation options evaluated, and information updated to 2016	<ul style="list-style-type: none"> - Studies based on an integrated, multidimensional evaluation of ecosystem impacts, vulnerability and adaptation activities, programs and strategies. - Adaptation vulnerability and resilience activities implemented, updated to 2016. - Report of pilot projects implemented from key adaptation options, identified in the Fifth National Communication (5NC) and other projects, and the implementation of new pilot projects, including materials prepared for raising awareness. - Portfolio of adaptation activities updated to 2016.



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Expected Result	Reference Indicator
4. National circumstances and additional information updated and described	<ul style="list-style-type: none"> - Report on National Circumstances to 2016, including development priorities and institutional arrangements, as well as gender issues. - Information on research conducted on clean technologies low in carbon, including information on technology access and transfer, and reported development capacity. - Information updated and reported on systematic research and observation, creation of awareness raising capacity and activities. - Information on necessary financial resources and technical assistance and provided for activities related to climate change, as well as for preparing the Sixth NC, including its BUR.
5. Sixth NC & BUR presented	<ul style="list-style-type: none"> - Publication and presentation of the Sixth NC on 2016. - Summary of general findings prepared for the general public. - Development and implementation of awareness raising campaigns.

(PNUD, 2015 a)

3.5 Main stakeholders⁷

- Public sector (executive and legislative) federal, state and municipal, private, non-governmental, cooperation, academia and research, and society in general.
- Executor agency (INECC).
- CICC.
- Sistema Nacional de Cambio Climático (SINACC) [National Climate Change System].
- Implementing agency (UNDP).
- Funding agency (GEF).
- UNFCCC.
- Operational Focal Point of the GEF in the Secretaría de Medio Ambiente y Recursos Naturales (SEMARNAT). [Ministry of the Environment and Natural Resources]
- Operational and Political Focal Point for Mexico to the GEF in the Secretaría de Hacienda y Crédito Público (SHCP) [Ministry of the Treasury].

4. Findings

In this section the findings of the evaluation, meaning the identified facts based on the analysis of information and data gathered during the desk work and interviews, are presented (*PNUD, 2012*). The findings are ordered according to evaluation criteria, to show the connection between the information gathered through interviews and the data analyzed in documents. The differences and similarities between the foreseen and actual results were pointed out in each case, as well as the factors that affected them.

⁷ Stakeholders are people, groups, institutions or other organizations that have an interest in the results of the project backed by UNDP and financed by GEF. The term also refers to people possibly affected by a project. The interactions with the stakeholders include providing information, gathering opinions, and active participation in the project (PNUD, 2012).



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4.1 Project relevance and its results

The relevance of a project refers to the extent that an activity is adapted to local and national development priorities and organizational policies, including changes over time as well as the extent to which the project is according to the operating programs of the GEF or the strategic priorities on which it financed the project (PNUD, 2012). Qualifications established by UNDP for this criterion include Relevant (R) and Not Relevant (NR).

Taking into consideration the previously mentioned, the Sixth NC is considered by most stakeholders interviewed and the Consultant that did the evaluation as relevant for Mexico, since it addresses and supports national development priorities established in the National Development Plan 2013-2018⁸ (DOF, 2013) and the Special Climate Change Program of 2014-2018 (DOF, 2014).

The structure, strategies and activities of the Project widely sustained the processes of inclusion, adaptation and updating of the Mexican climate policy in order to attain the goals Mexico committed to in the Paris Agreement.

The results of the integration process of the Sixth NC contributed to the development of the country by generating research, diagnostics, data, tools, platforms and capacities in relation to GHG emissions database, mitigation activities, adaptation and vulnerability to climate change. It increased the knowledge and awareness of the population in relation to climate change, its impacts and activities that can be taken to stop it. Also, the Sixth NC provides detailed information on the tools that Mexico has to handle climate change.

The process of generating the Sixth NC was a key factor that contributed to institutional strengthening of the INECC, since it served as a linking agent for activities and a communications bridge between different offices in the Institute (General Coordination Offices) during the process of restructuring the organization.

The Sixth NC involved different key actors of the country (different government agencies, private, research, academia, innovation sectors and society in general) in identification and supply of key information in relation to climate change activities, development of knowledge, tools and capacities.

For the most part, the private sector pointed out that the Sixth NC is relevant for the country as a reservoir of knowledge on climate change. However, the information presented in the Sixth NC does not support decision making within the business sector, since the extent of the document is too ample and the information it contains is very descriptive and it is not synthesized in many cases in tables or figures or with a summary in each chapter with a strategic focus to provide a picture of the country by topic so that a decision maker can read it in an executive manner (with the exception of the Emissions Database). On the other hand, the National Atlas on Vulnerability to Climate Change [Atlas Nacional de Vulnerabilidad al

⁸ Strategy 4.1.1 Implement an integral development policy that links environmental sustainability with costs and benefits to society; Strategy 4.4.3 Strengthen National climate change policy and care for the environment in order to move towards a competitive, sustainable, resilient and low carbon economy; Strategy 5.1.6 Consolidate Mexico's role as a responsible, active and committed actor in a multilateral scene, promoting primarily strategic topics of global benefit and compatible with the national interest.



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Cambio Climático] does not consider the vulnerability of private sector infrastructure to climate change; also, this sector recognizes that it is not aware of all the tools and/or systems developed for INECC to support decision making.

Based on the latter, they pointed out the importance of including the private sector as a key element of the vulnerability analysis and the relevance of involving the different sectors from the beginning of the design of the NCs, to establish validation and feedback mechanisms for the information that is generated from the data that the private sector provides. Many times the results are known and the information is distributed at a national and international level only when it is published. Nevertheless as made known by the MTE, the Project follows the guidelines of UNFCCC and GEF of the parts No Annex I for funding the NC and BUR.

4.2 Project design and execution effectiveness

Speaking of the effectiveness of a project, it must be understood as the measure in its objectives or the likelihood that achieve achieved it. Ratings through which UNDP evaluates this aspect of projects are (UNDP, 2012):

- **Highly Satisfactory (HS):** that the project did not have deficiencies in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Satisfactory (S):** there were only minor deficiencies.
- **Moderately Satisfactory (MS):** there were moderate deficiencies.
- **Moderately Unsatisfactory (MU):** the project presented significant deficiencies.
- **Unsatisfactory (U):** there were important gaps in the achievement of the objectives of the project in terms of relevance, effectiveness, or efficiency.
- **Highly Unsatisfactory (HS):** the project presented serious deficiencies.

This section will discuss the effectiveness of the design and execution of the project, using the same scale of ratings for each of the elements evaluated.

In relation to the design of the Sixth NC Project, the Consultant identified through document review and interviews with stakeholders a good strategic alignment with respect to an understanding, almost evenly among all those interviewed, about who was the client, the beneficiaries and users of the National Communication (key aspect for an effective design of strategies, activities and contents of the publication). Almost all those interviewed pointed out that the client of the Sixth NC is the UNFCCC and the beneficiaries of the process of development and users of the publication are the international community, decision makers of the public sector (executive and legislative), society in general and the private, academia, research and innovation sectors.

The Project had an original Prodoc developed by the Mexican Federal Administration of 2006-2012, under objectives and strategies conceived within the framework of the existing National Ecology Institute (INE), which had an office dedicated to producing the National Communications. After signing the original Project



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Document, several facts (like change of Federal Administration in 2012, restructuring of INECC, changes in the legal national framework linked to climate change), made necessary to adjust the Prodoc, without having the necessity to renegotiate a new Project. The Prodoc was signed on July 30, 2015. It should be pointed out that there was a lag between the project design phase and initiation due to modification of the legal, administrative and operational structures of the INECC resulting from the provisions of the LGCC. Thereby, some of those interviewed indicate that the Sixth NC and INECC were built in parallel and mutually.

The Prodoc established in a very clear way a general objective (focused on institutional capacity strengthening to integrate climate change strategies within the framework of National Development Priorities of the country) and five specific objectives (linked to updating and enhancing the emissions database; develop knowledge on low emissions development strategies; evaluating the impacts, vulnerability and mitigation activities implemented; update national circumstances and prepare the Sixth NC and Second BUR.

In order to attain the project objectives, the Prodoc established clear strategies to develop capacities, generate and validate data and information within the national scope. The strategies are focused towards the consultation of the stakeholders by: strengthening inter-institutional and inter-sectorial cooperation, developing or updating methodologies and establishing institutional processes and procedures to generate information systems, assisting and training decision makers in developing policies, as well as holding workshops and seminars for developing capacities in different subject matters. These facts were validated by the consultant through the review of the documentary evidence of the activities undertaken by the project.

The planned execution period for the Project was from June 2015 to August 2017 and it had an extension from September 2017 to June 2019, due mainly to:

- the lag between the design phase of the Prodoc and restructuring the INECC.
- the adaptations required to refocus the activities that Mexico needed in order to adjust the National climate policy towards compliance with the goals that were established by Mexico in the Paris Agreement in 2015 and the modification of the legal and administrative structure linked to climate change during the period 2013-2016.

Based on the United Nations principle relative to the separation of functions to provide transparency to the initiatives and in accordance with the Prodoc on the role of key stakeholders, the Project designed and established the following aspects to support its execution (PNUD, 2018 b) (PNUD , 2016 b):

- a. **a Project Board**, composed of INECC (Direction General and the Direction of International Affairs), Ministry of Foreign Affairs (Direction General for Technical and Scientific Cooperation -counterpart to UNDP in Mexico), UNDP (Direction of the Program for Sustainable Development) and the Technical and Administrative Coordination of the Project, having the function of monitoring and tracking Project activities, establish the necessary arrangements to guarantee compliance of the Project objectives and authorize disbursement of Project budget. The Board was established on



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October 6th, 2015 and held quarterly progress follow-up meetings with an open invitation to the Ministry of Foreign Affairs;

- b. **participation of all the INECC in the preparation process of the Sixth NC.** As the organic statute of INECC (DOF, 2017) establishes the General Direction is in charge of integrating, with assistance from the administrative units of INECC, national communications and biennial reports presented by the United Mexican States to the Framework Convention. In this sense, the five General Coordination offices, the Direction of International Affairs, Social and Administrative Communication participated in the design, development and/or coordination of the activities undertaken within the framework of the Project, as well as, in the design and integration of the document of the Sixth NC to be presented to the UNFCCC;
- c. **a Project Coordination Unit (PCU),** was responsible for technical planning and coordination of the preparation process for the Sixth NC, the organization and participation in events linked to the Project, as well as technical review of inputs to be included in the Sixth Communication. The PCU had the representation of UNDP and direct relation with the implementing organism (INECC). This Coordination is composed of a General Project Coordinator and a Senior Advisor, (personnel contracted by UNDP, installed in the INECC). The Coordination reported directly to the Program Director for Sustainable Development at UNDP and to the General Direction of the INECC. It was established in September 2015;
- d. **a Project Administrative Unit (PAU),** is part of the PCU and consists of a General Administrator and a Project Administrative Assistant, who establishes, monitors and tracks the budget (defined and based on the needs of the General Coordination) and the purchase and execution plans for the financial resources. This Coordination was established in September 2015 as part of the UNDP Project Administrative Unit at INECC, when it was decided to establish synergies with other projects (such as the Canada Platform); and
- e. **collaboration of the Country Office of UNDP (CO)** through the Direction and Program Manager for Sustainable Development, the CO provides technical and administrative support at a strategic level, provides national and international networking to assist in project activities and establish synergies among the projects in common areas or in other areas that would be of help to the Project and support the development and implementation of the strategy of the project type, as well as tending to GEF petitions.

In the following chart the Project organization is shown with that of the INECC:

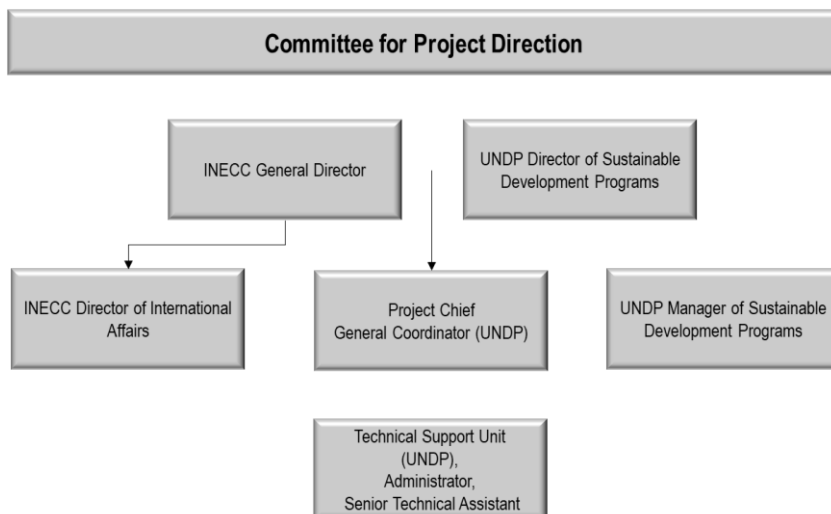


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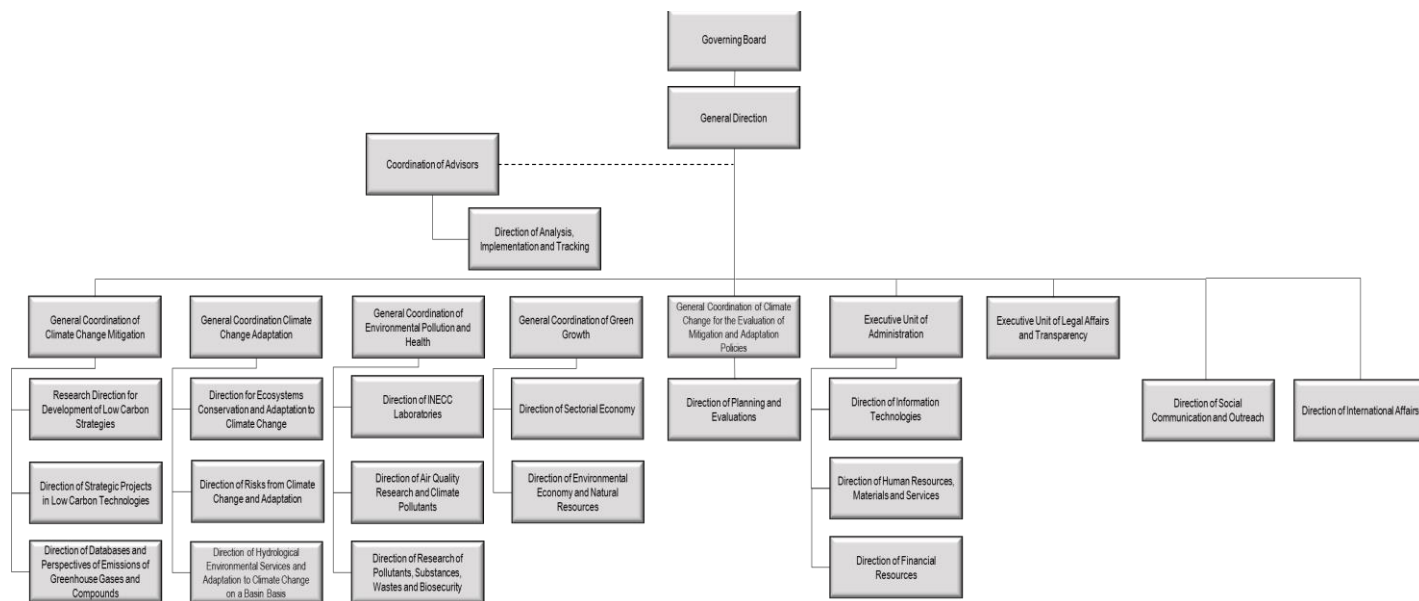


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Source: (PNUD, 2018 b),

INECC Organization chart



Source: (DOF, 2017)

Due to institutional needs, the Project Coordinator was changed in December 2016. The staff interviewed pointed out that this change in the coordination did not have a relevant impact on the Project



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implementation, due to the existence of a technical and administrative team that took charge of the Project during the three months that lasted the hiring process of the new coordinator. Also, all the actors interviewed expressed that the preparation process of the Communication was carried out from the beginning in close collaboration between the Project and INECC.

The new Project General Coordination established a clear planning process, transparent and participatory for the preparation of the Sixth Communication and of its publication as such, consisting of:

- a. consultation and participation of all areas of INECC in defining activities (forums, workshops, research, consultancies, etc.) to be held in preparation of the Sixth NC and the definition of topics to be included in its publication (within the framework of the index required by UNFCCC);
- b. the design of a general critical path for the project;
- c. establishment of the coordination mechanisms with the General Coordination for the development of activities (forums, workshops, consultancies for conducting studies, tools and materials, contracting specialists) and the supply of inputs (chapters) to the document of the Sixth Communication; and
- d. definition of the general content of the document that would become the Sixth NC.

The strengths of the design were shared by those interviewed and identified by the consultant were:

- definition of activities (forums, workshops, training, dialogs with several sectors, consultancies for undertaking studies, tools and materials and contracting specialists) based on needs identified in the National scope and INECC;
- there was a clear definition within the INECC of those topics that were the necessary to develop and/or update knowledge relating to climate change, as well as with the specialists that the institute did not have and were required for certain tasks;
- high sensitivity to the context of institutional needs and dynamics of the INECC, which generated an environment of cooperation between INECC and the team in charge of the Project coordination;
- high technical quality of the review process of inputs and activities developed to prepare the Sixth NC;
- establishment of mechanisms for adaptation derived from changes in the context of the Project.

The areas of opportunity in the design of the Project mentioned in the interviews and identified by the consultant were the lack of:

- an approved and organized procedure so that the General Coordination could require information from the different stakeholders and the local governments, since information was primarily required in written form;
- a commented guideline that from the start of the Project established key questions required for the Sixth NC and the definition of guidelines, focus and extent of the written document;



- a specific critical path for each General Coordination that guaranteed the development of activities (research, capacities development, consultancies, etc.) and the supply of inputs (chapters) on time to be included in the Sixth NC.
- establishment of a feedback system on information, scenes, mitigation projections and costs by INECC based on data provided by the private sector.

The administrative arrangements designed by the PAU for Project operation are described in section 3.2.4.

4.2.1 Suppositions and risks

The Prodocol established that great risks had not been identified for the Project Sixth NC, however, it pointed out some aspects as possible risks (marked with a 1); during the Project execution other risks were identified (marked with a 2), which based on evidence and in the opinion of the Consultant were handled in a satisfactory manner through risk management measures, as shown in the following table.

	Risks	Measures adopted to manage the risk
Environmental	Continuity of activities within the country that negatively affect the environment. Low risk. 1	Activities were developed for awareness raising and training on climate change and its effects. All sectors were involved in order to foster change in the activities that harm the environment.
Strategic	Generated climate change scenes do not have an adequate scale for evaluation for national, regional or local impacts, and the vulnerability and adaptation to climate change have a high level of uncertainty. Low risk. 1	Capacities were developed in the work teams and work was coordinated with specialists.
Operative	a. Potential delay in project approval and funding disbursement. High risk. 1	Disbursements by GEF were on time. Clear and transparent procedures were established with the executor agency for funding disbursement.
	b. Limited political support to Mexico's commitments to UNFCCC. Low risk. 1	The consultant worked closely with the Federal Government, which maintained in its National priorities the climate agenda and continued to meet its commitment to publish the NC.
	c. Lack of the necessary technology transfer for resilient growth low in carbon and the climate for country development. High risk. 1	The relationship with key sectors was strengthened and work groups were established in order to define technological pathways in accordance with the Mexican context and sources of funding were identified that could support technology transfer.
	d. Lack of medium-term continuity from the Mexican Government with respect to policy recommendations and mechanisms and paths for undertaking National commitments on climate change. Medium risk. 2	<ul style="list-style-type: none"> - Decision makers from the three levels of government and representatives from strategic sectors became involved in the identification processes of mitigation and adaptation measures and activities. - Reinforcement of work groups with the



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	Risks	Measures adopted to manage the risk
	<p>e. Delay in gathering data and information for establishing mitigation paths. Medium risk. 2</p> <p>f. Delay in delivery of chapters for preparing the Sixth NC by the General Coordinators in INECC. High risk. 2 Said delays moved the publication date of the Sixth NC to November 2018 (projected date at the moment of the FE).</p> <p>g. Discrepancies between the technical review team of INECC with consultant on the way to address estimations and expected products. Low risk. 2</p>	<p>private and social sectors.</p> <ul style="list-style-type: none"> - The involved sectors were included in the work groups. - Technical assistance from INECC staff to groups. - Work meetings of the Project Board with the General Coordination Offices to establish text closure strategies and conclusion of the Sixth NC. - Close tracking by the Project Coordination Unit with the heads of the INECC General Coordination Offices. - It's a risk that remains present currently. - Conclusion of contracts. The MTE pointed out that the cancelled consultancies did not have an impact on the Project objectives.
Financial	<p>a. lack of private initiatives and investment efforts to face climate change. Medium risk. 1</p> <p>b. lack of adequate legislation related to the access of ecologically rational technologies and their implementation. Medium risk. 1</p>	<p>Mexico's action and inaction in relation to climate change mitigation was quantified and it has been made known that it is costlier to do nothing than to begin acting.</p>
For sustainability	<p>a. Loss of the capacities developed during the execution of the Project due to changes of personnel in government agencies and in other institutions related to changes in government agencies. Medium risk. 2</p> <p>b. Change of the newly elected Federal Public Administration in Mexico. 2</p>	<ul style="list-style-type: none"> - Systematic organization and documentation of processes, methodologies, study results, institutionalization of these. - Design of a work strategy with the Transition Team of the new administration (2018-2024) by the end of the Project.

1 Defined in the design of the Project (Prodoc).

2 Identified during the execution of the Project.

Prepared by consultant based on (PNUD, 2015 a) (PNUD, 2017 a) (PNUD, 2018 f) and interviews.

4.2.2 Planned participation of stakeholders

It is considered that the interaction with stakeholders⁹ was satisfactory, since the strategy of the Prodoc was to establish consultation processes with stakeholders through dialogs, workshops and seminars to gather concerns, perceptions relative to climate change, as well as to present and make available updated

⁹ Persons, groups, institutions or other organisms that have interest in the UNDP project results funded by GEF. The term also refers to people possibly affected by a project.



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and relevant information on the subject and to inform on progress reached by the preparation process of the Sixth NC.

During the integration process for the Sixth NC, several events took place where information and progress in studies was shared, which later were included in the Communication that included the participation of more than 6 thousand people.

A total of 33 workshops and forums were held (some with support from the Project Platform for collaboration on Climate Change and Green Growth between Canada and Mexico (Canada Platform):

- one workshop to start the Sixth NC.
- three national encounters on climate change (which included workshops for legislators, the media and local governments).
- seven Public-Private Dialogs on Nationally Determined Contributions (NDC) (energy, industry, residential, waste, transport, agriculture, livestock and forestry sectors).
- eight workshops for socialization of mitigation pathways associated to the NDC (industry, oil & gas, residential & commercial, manufacturing, transportation, agricultural/livestock and land use sectors).
- 14 workshops on different topics: emissions databases, adaptation to climate change in environmental management units, regional climate modeling, paleoclimatology, vulnerability atlas, gender.

Additionally, a draft of the Sixth NC was sent to the 14 agencies that are part of the Inter-secretarial Commission on Climate Change, receiving commentaries from 12 of them (up to September 2018).

The external actors to Sixth NC preparation process recognized:

- the openness of the administration of INECC to conduct the preparation of the Sixth NC by establishing a strategy for participation and consultation, that built bridges between INECC and the different sectors.
- the involvement of the technical areas of INECC to work with certain industry sectors in the generation and validation of data.

The actors pointed out that the areas of opportunity of the process are:

- Involvement of the different sectors in establishing what Mexico needs from and in a Sixth NC. (Involve sectorial representation in the definition of what Mexico needs from and in a Sixth NC)
- not establishing a mechanism for feedback from the final information generated based on the data offered by the industrial sector, since it is not possible to enter into a detailed technical dialogue in the workshops and forums. It was pointed out that the final information was not made available until INECC published it officially, and this affects the feasibility of implementing actions (such as mitigation pathways) and also transparency of the process. The industry sector pointed out that it did not receive the draft of the Sixth NC for comments before it was published.



- the industry sector recognized that within the participating organizations it can be difficult to track the person who is the contact with INECC, since different areas in the organizations can handle the same issue.

4.2.3 Comparative advantage of UNDP

The actors interviewed considered that the comparative advantage of UNDP contribution to the Project was:

- establishment of a technical and administrative team (PCU & PAU) linked directly and exclusively to the project, which by means of strategic, technical, administrative and management assistance contributed strongly to the strategic and integrated planning and execution of activities.
- establishment of a dialogue within INECC and with actors from different sectors, which contributed to attaining the Project results and objectives.
- the high-level participation of the Country Office throughout the project, offering its experience with similar projects, as well as focusing the Projects and actions on National priorities.
- the capacity to call and bring together key actors in mechanisms of dialogue and agreement.
- its effectiveness and efficiency in mobilizing financing.
- the flexibility of its processes and its capacity of managing adaptation to attain an effective and efficient process under the country context and operational by the counterpart.
- Establish a feedback mechanism with the industrial sector, in order to agree with its representatives on the final data to be included in the Communication.

As an opportunity area of the UNDP, some of those interviewed in INECC pointed out:

- periods for hiring consultancies were too long and in some occasions the paperwork was somewhat complex.
- The results of the MTR and TE of previous projects were not delivered at the beginning of the design process for the integration of the 6 CN.

4.2.4 Administrative Arrangements

The team of the Sixth NC has been expanded by the UNDP Country Office, Administrative Unit (September 2015) and the General Coordination (September 2015). The maximum governing body where decision making is centralized is the Project Board, decisions are made under authorization by the UNDP Program Direction for Sustainable Development and the General Direction of INECC. The Board meets every three months as part of the monitoring and tracking mechanism established for the Project.

Due to the size and complexity of the activities undertaken by the Project, the work team was increased in the PCU and PAU, including in the first a Senior Advisor and an Administrative Assistant in the second in order to strengthen the technical and administrative part, respectively. In total, the team had four specialists located at INECC and with the constant support and coordination of the CO.



Based on a guideline from GEF, the expenses related to coordination and administration of the Project cannot exceed 5% of the total budget supplied by GEF. The Project complied with guidelines, since its total implementation expenses up to June 2018 reached 4.89% of the total Budget (PNUD, 2018 c).

The administrative arrangements of the Project considered defining:

- a. the administrative style required by the Project;
- b. the ideal contract schemes;
- c. annual budgets and purchase plan;
- d. design and initiation of Project operative processes: technical, administrative, monitoring and tracking of activities and resources.

The administrative style that was established for the project focused on supporting and facilitating execution of Project activities.

The institutional strengthening of INECC required hiring specialized technical staff that were not already part of the institution, which was required for tasks planned jointly with INECC for the process of generation and updating relevant information. These staff members were hired under the scheme of the Service Contract (SC). 26 Service Contracts were executed relating to green growth, sustainable cities, economic analysis of the NDC, meteorology, oceans, livestock emissions database, statistical and probability analysis for sectorial and global uncertainties of the GHG emissions database, experts for reviewing by sector the emissions database (Roster Expert), adaptation to climate change, evaluation of climate change measures with a gender focus, wildlife, , communications and outreach (since INECC did not have a communications area –it depended upon the communications area of SEMARNAT-), technical writing, graphic design, Web programming, as well as, staff positions of the Project Coordination Unit and the development of Project audits. In this same manner, consultancies were hired (by means of Individual Contract -IC- & CSP) focused on developing studies, tools, platforms, methodologies and teaching & outreach materials.

The Project Board established that contracts (SC & IC) should a) establish clearly deliverable products; b) generate capacities for INECC and c) the SC should work at the INECC, strengthening its staff in the products for the Sixth NC. Details on contracts and consultancies are presented in section 3.5.1. It should be pointed out that the SC salaries were made compatible with those of INECC, salaries and as well as per diem, in order not to cause disruptions in the structure.

The annual Project budgets were established based on the Prodoc and an exercise in planning with the General Direction of INECC and its five coordination offices, considering topic areas where it was necessary to generate/update knowledge, the activities required to incorporate into a national context, the information on activities undertaken in relation to climate change and the priorities of context and development of the country. Also, computer equipment and software were purchased. The detailed annual budget is shown in section 3.5 relative to Project efficiency.



Since the Sixth NC is a country document, several external stakeholders interviewed at INECC pointed out the importance and need to be considered in the beginning, in the identification and establishment of topics and activities to be addressed/developed in the process of preparation of the Sixth NC.

To establish the operating processes the following were considered:

- i. the preparation of terms of reference for hiring consultancies, contracts, organization and conducting courses (undertaken by INECC and the PCU), forums, workshops, dialogue with sectors, development of platforms, tools and outreach materials, etc. The Senior Advisor of the PCU provided specialized technical and strategic support to develop the ToR for multiple Project activities, as well as reviewing the ToR prepared by the general coordination offices at INECC in order to guarantee compliance with UNDP principles in the development of terms of reference and their technical consistency;
- ii. definition of a purchasing and contracting plan;
- iii. training INECC and PCU personnel on UNDP administrative guidelines and procedures;
- iv. establishment of an activity monitoring and tracking system:
 - i. strategic: the Project General Coordination, jointly with INECC and the Administrative Unit, defined and tracked (with a focus on support) the activities undertaken by the offices of INECC in order to report on Mexico's activities on mitigation and adaptation matters;
 - ii. technical: through the Senior Advisor at the PCU, a technical review of products, detailed tracking of consultancies, forums, courses, workshops, dialogues, etc. Support to the National Project Coordination in the establishment of activities and development of technical monitoring and tracking reports;
 - iii. administrative: the Administrative Unit established a system for budgeting, contracting and payments, as well as monitoring and tracking the disbursement of funds.

Based on interviews, it was identified that the strengths of the administrative measures were:

- financial planning for 6 to 9 months;
- establishment of clear processes from PAU for contracting services and personnel;
- Good efficiency in contracting and payment times on average;
- effective management in adapting to the needs of the counterpart;
- planning the technical (all consultancies concluded) and administrative closure.

The areas of improvement pointed out were:

- the time for managing funds, the flow of funding, in some cases complicated, but were resolved;
- the long time required by the academic sector (universities) for contracting studies, as well as disbursing payments;
- that the references of the studies contracted cannot reflect the name of the author (since by UNDP procedures they must be cited as UNDP-INECC), which is important to the researchers so that they can be given credit as part of their research curricula.



4.3 Project execution effectiveness

This section deals with how the project was executed, analyzing the effectiveness of the project in adapting to the needs of the country, the design and implementation of the mechanisms for tracking and evaluation of activities, coordination between UNDP and INECC for operational execution of the Project, up to the effectiveness in attaining strategies, results and planned objectives.

4.3.1 Management of Adaptation

Those interviewed from INECC highlight the flexibility and capacity of UNDP in adapting aspects and/or processes of the Project with the purpose of addressing situations that came up during project execution and, adapting in the most effective manner, the Project to the needs of its counterpart in order to reach the expected results. The changes to the Project during its execution were the following:

Changes that came up during the project and its corresponding adaptation			
Change	Cause	Approval mechanism	Modifications to the Project
Adjustments to Prodoc	The original Prodoc was prepared during the 2007-2012 administration. In 2012, the General Climate Change Law was published that gave life and basis to INECC, with new functions to those of INE, which required adjustment of the Prodoc to the new legal and institutional reality of Mexico relative to Climate Change.	Project Board	<ul style="list-style-type: none"> • Prodoc updated to the context and needs present at the startup of Project execution. • Support to the communication process within INECC when it started to be structured.
Hiring of a new National Project Coordinator	It was necessary to adjust the work focus of the PCU in order to work under a collaborative focus with INECC.	Project Board	<ul style="list-style-type: none"> • Delay in Project execution that was resolved without affecting it strongly thanks to the existence of the technical and administrative team. • The PCU was able to establish a cooperative environment with the counterpart.
Adjustment to several Project activities	It was necessary to provide assistance to Mexico in updating and refocusing several activities (mitigation paths and costs, contributions established nationally) that will allow it to set the basis for compliance of the agreements adopted within the framework of the Paris Agreement and the	Project Board	Expansion of the Project execution period from 2017 to 2018 so that it could provide support for updating



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Changes that came up during the project and its corresponding adaptation			
Change	Cause	Approval mechanism	Modifications to the Project
	new legal framework for climate change.		
Modification of the contracting scheme	<p>The Prodoc established hiring three sub directors specialized in GHG emissions and adaptation, and one technical secretary, which would be in the PCU. However, INECC asked the hiring of specialists for certain areas where they were required and were fundamental to the development of planned activities relevant to preparation and updating.</p> <p>The original contracting vision was modified and specialized personnel were hired in several areas (by means of Service Contract), which supported INECC directly.</p>	Project Board	<ul style="list-style-type: none"> • Strengthening institutional capacities. • Fostering updating position profiles at INECC. • Incorporation of staff by INECC.

Source: Prepared by consultant based on (PNUD, 2015 a) (PNUD, 2017 a) (PNUD, 2018 d) and interviews

4.3.2 Follow-up and evaluation (F&E): input design and execution

Based on UNDP-GEF guidelines, all of their projects must have a solid follow-up and evaluation plan (F&E) to control results and have a project record in order to reach their objectives (PNUD, 2012).

The project had a moderately satisfactory performance since monitoring and evaluation process were implemented in order to track and register progress of activities and planned results. Possible implementation issues and corrective measures were identified, time lags were taken into the administrative procedures necessary for the extension of the project and to carry out on time the MTE.

The Project had supervision and evaluation mechanisms in relation to technical and administrative aspects with the following characteristics and scopes:

- A technical supervision mechanism was designed and executed by PCU, consisting in tracking:
 - programed activities with the coordination offices at INECC (generation of information and inputs to prepare the Sixth NC);
 - consultancies and hires that included in all cases review of the ToR prepared by INECC (to guarantee technical consistency of same, avoid duplicity of research or activities between areas) and in other cases preparation of ToR; technical review of products delivered by consultants and suppliers; follow-up of delivery times of contracted products;
 - progress in attaining planned results and objectives;
 - evidence of a systematized mechanism identified that allows seeing project advances in general and by each one of the planned results on a weekly basis.



- An administrative supervision mechanism was designed and implemented consisting of:
 - means to establish annual budgets and purchase and hiring plans;
 - weekly follow-up of funds disbursed by activity and planned results;
 - generation of semester and annual reports on the supply of resources.
- A strategic follow-up mechanism was established through the Project Board, which served to evaluate Project progress, country and institutional context and the possible barriers, as well as the causes of delays in activities. All this to establish management measures for appropriate adaptation. It is noted that in the first Project Board meeting it was established that it would meet every 3 months (4 times per year) and evidence showed that it met (three times in 2016, twice in 2017 and four in 2018). It was also agreed that the Ministry of Foreign Affairs and the Mexican Agency for Cooperation for Development (AMEXCID) would always be invited, although evidence of their participation in Project Board meetings was not found.
- A Project evaluation process was undertaken consisting of:
 - a Mid-Term Evaluation (finalized in July 2018).
 - a Final Results Evaluation (initiated towards the end of August 2018);
 - annual financial audits (2015-2017).

As an opportunity area for improvement of the F&E process, the following was identified through interviews and the document review:

- lack of a follow-up mechanism on the perceptions and needs of the actors external to INECC with respect to the grade of satisfaction of the preparation process of the Sixth NC and feedback on the information generated.
- the extension of the project was requested after the date of closure of the project.
- the MTE was held at the closing phase of the project and there was only one month of difference between the term of MTE and the beginning of the TE.
- the results of the MTE were not shared with all areas of the INECC.

4.3.3 Coordination of the application and execution of UNDP and the partner for execution and operational aspects

The coordination between UNDP and the implementing partner (INECC) for Project operation was very satisfactory, which led to reaching the five planned objectives.

The Project had an appropriate focus of results directed towards supporting national priorities. Each one of the results reached the compliance indicator established in the Project in a satisfactory manner, except for publication of the Sixth NC. In section 3.5.1, a global and detailed analysis of the results reached by the Project is presented.

As is pointed out by the MTE, the TE verified that during the development of the project, a close and strategic dialogue of a high level was implemented between the CO and the project implementing partner (INECC) from the design of the Project to establish topical priorities and the execution of resources. Also,



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UNDP provided support all the time through the CO, PCU and PAU towards INECC for Project follow-up, risk management and adaptation activities.

A periodic progress report exists that was presented to the Board with respect to results, risks and opportunities, and there is evidence that the Board reviewed, validated and utilized the information to make decisions.

Meetings were held with the Project Board, although evidence showed that much less frequently than initially established. Work meetings were held constantly with INECC coordination offices. UNDP had a vision centered on the counterpart, its needs, those of the country and the GEF-UNDP guidelines, that contributed so that the Project could have effective leadership and management. During the Project, all stakeholders were informed constantly on progress, results and possible risks.

Quality technical support was provided effectively and efficiently by the CO of UNDP both to the PCU and PAU and from these to the funds of the GEF. UNDP provided network contacts to help out the Project activities and establish synergies, their expertise and the close work of UNDP were fundamental in being able to prepare the Sixth NC. Without this interaction it would have been very difficult to attain, especially in an institutional conformation process such as that experienced by INECC, the preparation of the Sixth NC.

INECC, from the Direction General to the staff, showed a high degree of involvement with the Project, an open dialogue, as well as a high technical level of its staff and ample cooperation with UNDP. These were key elements to address the Project challenges within a process of institutional building and planned activities in other areas of the work. Said disposition and aperture was verified by the evaluator, who was well received by all areas of INECC, even though the closure of the federal administration is near.

The annual reports showed clearly the results reached and the resources used and were approved by the Project Board. The financial information was validated by external audits (2015-2017), which showed that the resources were used in accordance to the budget without any observations.

The risks that came up during the project execution were handled satisfactorily through risk management measures as shown in section 1.1. There was high and efficient quality response from the CO, PCU, PAU and INECC towards the problems that came up, such as the change in National Project Coordinator, the need to extend the Project execution period and cancel certain consultancies.

The only opportunity area relating to the operation that remained until the moment of the Final Evaluation (third week of November 2018) and in spite of the risk management measures implemented by UNDP and INECC, was the delay in publication of the Sixth NC and the Second BUR and their delivery to UNFCCC; fact that was also pointed out by the external actors interviewed, since on several occasions it was mentioned that the Sixth Communication was about to be published and in the Third National Meeting: Mexico facing Climate Change, it was informed that the final draft of the Sixth NC would be put on the INECC Web page during the week of the event. The Sixth Communication was published in INECC's and UNFCCC's webpages on November 28th, 2018.



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No evidence appeared of the presence of the Ministry of Foreign Affairs or the AMEXCID in the Project Board meetings.

4.4 Effectiveness in attaining strategies, results and objectives

The results reached by the Project Sixth NC are analyzed in detail in this section. The grade is based on the scale established in the ToR (Annex7). The results of this matrix and the description of findings support the global grade of the project.

The planned strategies were implemented, an ample process of consultation and information gathering from the different sectors on a national level was undertaken; data was generated and updated and knowledge and capacities in GHG emissions database, as well as LED strategies, were enhanced;; decision making and the development of public policies at the federal and local level were supported; options on vulnerability and adaptation were evaluated and work groups were formed and strengthened.

The project generated very satisfactory results, by attaining the five planned objectives.

Strengthening of institutional and sectoral capacities in the development of emissions databases with the best current practices of the Intergovernmental Panel on Climate Change (IPCC) and for the generation of national data. The database was developed by institute staff members, in order to ensure that the capacities remain in the institution. Therefore, four specialists were hired full time to work at INECC's offices on topics related to livestock, energy, fossil fuel burning sectors and calculation of database uncertainties.

The Sixth NC includes GHG emissions database for the period 1990 – 2015 updated for the four sectors committed to IPCC, using the 2006 IPCC methodologies and incorporating the development of their own Tier 2 emissions factors for calculating CO₂ emissions from fossil fuel burning, and EF derived from studies for methane (CH₄) and black carbon from burning agricultural waste. It should be pointed out that the database was included and updated for one additional year (2015) to that planned in the Prodoc (which established that it should be updated to 2014).

INECC and state agencies' staff were trained in calculating and estimating GHGs emissions and institutional arrangements were strengthened, which led to the development of a more precise and robust GHG database. In response to the International Consultancy and Analysis Evaluation (ICA), the Sixth NC included the calculation procedure for GHGs emissions estimation, and the tier used for the GHGs calculations in each sector.

The National circumstances were updated, locating Mexico in 13th place in the world in emissions with a generation of 1.33% of global fossil fuel emissions.

LEDs, Nationally Appropriate Mitigation Actions (NAMA), Nationally Determined Contributions (NDC), pathway sheets and technical mitigation maps, and studies were developed, and public policies focused on mitigation (including the cost of the action and the inaction) and adaptation to climate change. A gender emphasis was incorporated in the adaptation actions.



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A wide communication and awareness building strategy was designed, relating to climate change and on the progress of the process of preparing the Sixth NC. Hiring a specialist in communication to review the progress in the preparation of the Sixth NC helped strengthen the Social Communication Area of INECC, since the Institute did not have an area dedicated to these tasks and depended on SEMARNAT for outreach of activities and information.

The Second BUR was prepared, tending to observations made by the group of reviewers at UNFCCC on the First BUR, in particular the inclusion of the quantification of the mitigation measures and the integration of all the information in tabular format. This was published as part of the Sixth NC in December of 2018.

Capacity building and institutional strengthening were done under different schemes: studies undertaken where it was necessary to provide new or updated knowledge (by hiring consultancies); staff training; certification of staff; as well as hiring specialists in different topics that support specialists from INECC, Petróleos Mexicanos (Mexican Oil Company), la Comisión Nacional Forestal (National Forestry Commission), the Federal Electricity Commission and the Mexican Water Technology Institute. In total:

- 26 specialists were hired (the National Coordinator, Senior Advisor, Administrative Coordinator and Administrative Assistant, that make up the PCU and PAU, as well as specialists in meteorology, green growth, economic analysis, livestock activities, statistical calculus, adaptation, gender, wildlife, communication, technical writing, graphic design, Web programming;
- 59 consultancies were hired in areas relative to:
 - updating the database in the category of oil and gas and solid waste.
 - development of emissions factors.
 - instrumentation pathways of the NDC in the oil and gas, industry, transport, residential and commercial sectors, land use and change, agriculture and livestock, solid waste and wastewater.
 - impacts of hydrological environmental services, vulnerability and risk analysis of climate change.
 - creation of an early alert system.
 - analysis of ground and surface water resources.
 - analysis of extreme climatic events.
 - estimation of uncertainty level for the dates to reach the global average temperature increase of 1.0°, 1.5° and 2.0°C, and the implications for Mexico.
 - paleo climatic studies, including paleogeographical and paleolimnological research.
 - analysis of the human bioclimate.
 - vulnerability of water resources.
 - estimation of Co-Benefits of alternatives for implementation of the NDC in the Oil and Gas, Transportation and Electricity Generation sectors.
 - development of a Knowledge Platform for information services on sustainable cities.
 - evaluation of the economic effects of climate change in the health and tourism sector.
 - effects of climate change on economic growth of Mexico.
 - analysis of the effectiveness of mitigation instruments.



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- National volatile organic compounds database.
- analysis of atmospheric chemistry in Mexico.
- development of an indicator system to evaluate climate policy.
- evaluation of climate change policies.
- capacity of the three levels of government to address climate change.
- study of the opinion on climate change.
- gathering information on climate change activities.
- blue carbon.
- education.
- digital library at INECC.
- current state of oceans in Mexico, financing for climate change.
- style correction, outreach materials.
- evaluation of the Project (mid-term and final evaluation).
- 18 people were trained in six courses offered by the Institute about the 2006 IPCC methodology: introductory, energy, forestry, waste and industry. In total, 38 courses were undertaken.
- two people were certified that were included on the Expert Roster of the United Nations Framework Convention on Climate Change (UNFCCC), which remained within the INECC structure.

The Sixth NC and Second BUR were prepared (the BUR as an annex of the Sixth NC), and these were presented within the framework of the 24th edition of the Conference of the Parties of the Convention on Climate Change (COP24), that took place in Katowice, Poland and were published in December 2018), which comply in their structure with the guidelines of the UNFCCC.

Only the Executive Summary of the Sixth NC was translated into English. Most of the external actors interviewed (that did not have the opportunity to review the document to be published at the time that the TE was undergoing), pointed out that even if the NC's have the objective of communicating the progress made by the countries in their actions on climate change, they should focus on supporting decision making, being shorter in length, conclusive and have links, references and contact lists of the national climate change system. The following matrix of the project framework shows the results and the grades reached in each of them.

Source: document developed by evaluator 2018 based on (PNUD, 2012), (PNUD, 2015 a), (PNUD , 2018 a) (PNUD, 2018 b), (INECC, 2018), (PNUD, 2018 c), (CMNUCC, 2004), (CMNUCC, S. F.) and interviews.



Logical framework to evaluate the results of the Project Sixth NC						
Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
Result 1. The National Greenhouse Gas Database (INEGI) has been enhanced and updated						
Product 1.1 Procedures for development of the Database and management to enhance the current system have been reviewed and evaluated.	Evaluation and review of database development and management procedures in order to increase the current system evaluated and reviewed.	Previous NC, especially the SNC and the first BUR.	Procedures established to enhance the current database system, institutional arrangements enhanced for a better flow of information and generation of optimal data, electronic database available.	2006 IPCC methodologies were used to update and enhance the GHG database and capacities were built in the staff of different sectors for estimating GHGs. Institutional arrangements were strengthened by creating sectorial work groups, which generated and provided information validated by sector. This derived in the development of a more precise robust GHG database. The electronic database is available at the INECC Web page, Sixth NC and BUR.	<ul style="list-style-type: none"> - Sixth NC - 2016Audit - 2017 PIR - MTE - Interviews https://www.gob.mx/inecc/acciones-y-programas/inventario-nacional-de-emisiones-de-gases-y-compuestos-de-efecto-invernadero	HS
Product 1.2 The best practices for preparing databases have been adopted	Best practices adapted in preparing databases.	Previous NC.	Estimate of GHGs emissions by key sectors using a more elaborate IPCC methodology (levels 2 or 3). Improved	A more recent methodology was used (IPCC 2006) for the emissions database. GHG emissions were estimated for all sectors using the IPCC 2006 guidelines. Emission factors for CO ₂ were included appropriate for Mexico for burning fossil fuels and	<ul style="list-style-type: none"> - Sixth NC - 2017 PIR - 2016Audit - MTE - Interviews 	HS



Logical framework to evaluate the results of the Project Sixth NC

Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
			guidelines for validation of activity and quality control data, analysis of key sources and uncertainty evaluation for all available sources	methane (CH ₄), and carbon black for burning agricultural waste. - The historical record was updated from the 1990- 2015 databases, using the same methodology IPCC 2006. -An uncertainty evaluation was performed and is presented for the emissions of 2015, as well as for the historical record of 1990-2015. -Internal and regional capacities were developed through training in GHGs calculations and international certifications of national experts.		
Product 1.3 HFCs emissions have been estimated and tendencies were established in collaboration with the Mexican Office of the Montreal Protocol	Emissions estimates and established HFCs tendencies in collaboration with the Mexican Office of the Montreal Protocol.	Without previous experience with improved methodology .	Enhancement in HFCs emissions estimations and available established tendencies.	A Tier 2 methodology was used in calculating HFCs emissions through a study developed by the Ozone Protection Unit of SEMARNAT.	- Sixth NC - 2017 PIR - 2016 Audit - MTE - Interviews	HS
Product 1.4 The INEGEI was updated to 2014 (1990-2014) for all	INEGEI updated to 2014 (1990-2014) for all GHGs, and the report prepared of the	GHGs database available annually for	GHGs database available annually up to	INEGEI has been updated to 2015 for all GHGs an additional year was included (2015) to that planned in	- Sixth NC - 2017 PIR - 2016 Audit	HS



Logical framework to evaluate the results of the Project Sixth NC

Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
GHGs and the INEGI report was developed	database	the periods 1994-1996 (1NC), 1994-1998 (2NC), 1990-2002 (3NC), 1990-2006 (4NC), 1990-2010 (5NC), and 1990-1912 (First BUR).	2014 (1990-2014), INEGI publication. The results are available in Web pages for consultation. Presentation of the National GHGs Report to the UNFCCC.	the Prodoc). The GHGs databases from 1990 to 2015 are available in the Web and the Sixth NC.	- MTE - Interviews https://www.gob.mx/inecc/acciones-y-programas/inventario-nacional-de-emisiones-de-gases-y-compuestos-de-efecto-invernadero	
Result 2. Knowledge on the development of low emission strategies (LEDS) has been acquired in Mexico and GHG mitigation policies and actions implemented or foreseen have been updated.						
Product 2.1 LEDS for the energy, industry, forestry, agriculture and waste sectors have been designed	LEDS developed for the energy, industry, forestry, agriculture and water sectors.	Only components for the future national strategy.	LEDS available for the energy, industry, forestry, agriculture and water sectors.	An international review of LEDS for the energy, industry, forestry, agriculture and water sectors was conducted. Selection of LEDS identified as applicable to Mexico in order to support compliance with the Paris Agreement. LEDS published and focused on the energy, transport, industry and sustainable cities sectors.	- Sixth NC - 2017 PIR - 2016 Audit - MTE - Interviews	HS
Product 2.2 Tools for implementing	Tools to implement policies related to LEDS, and co-benefits	5NC and First BUR	Tools available; NAMA have been	Nationally Appropriate Mitigation Actions (NAMA) presented by federal entity, sector and	- Sixth NC - 2017 PIR - 2016 Audit	HS



Logical framework to evaluate the results of the Project Sixth NC

Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
<p>policies related with Development of Low Emission Strategies (LEDS) and co-benefits of GHG mitigation have been analyzed</p>	<p>analyzed for GHGs mitigation measures.</p>		<p>monitoreadas, reportadas y verificadas monitored, reported and verified; and co-benefits of the mitigation measures presented.</p>	<p>quantified with respect to their mitigation potential.</p> <p>Quantification of reduction in emissions and costs of the Nationally Established Contributions (NEC) to comply with the Paris Agreement and the co-benefits of the mitigation measures were analyzed.</p> <p>Mechanisms were established to monitor, report and verify.</p> <p>A methodology was developed for the evaluation of the Special Climate Change Program (PECC abbreviation in Spanish).</p> <p>Capacities were developed in several sectors on emissions quantification methods.</p> <p>An on-line training course for states and municipalities on mitigation was developed.</p>	<ul style="list-style-type: none"> - MTE - Interviews <p>https://www.gob.mx/inecc/acciones-y-programas/acciones-nacionalmente-apropiadas-de-mitigacion-namas</p> <p>https://www.gob.mx/inafed/articulos/participa-en-el-curso-mitigacion-del-cambio-climatico</p>	
<p>Product 2.3</p> <p>Technological road maps have been developed for the energy, industry, forestry, agriculture and waste sectors</p>	<p>Technological road maps developed for the energy, industry, forestry, agriculture and waste sectors.</p>	<p>Some components of the 5NC</p>	<p>Technological road map available for key sectors.</p>	<p>Seven technological road maps were developed for the key sectors: transport, industry, oil & gas, residential & commercial, land use, change of land use and wildlife husbandry, agriculture & livestock, waste and wastewater, in order to comply with the Paris</p>	<ul style="list-style-type: none"> - Sixth NC - 2017 PIR - 2016Audit - MTE - Interviews <p>http://encuentronac</p>	<p>HS</p>



Logical framework to evaluate the results of the Project Sixth NC						
Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
				Agreement. The necessary institutional arrangements were analyzed to execute the technological road maps.	ional.cambioclimatico.gob.mx/	
Product 2.4 The policies and actions foreseen or implemented to mitigate GHGs to 2016, at the national, state and local level have been reviewed and evaluated	Evaluation and update of policies and actions for mitigating GHGs implemented or considered until 2016, at a national, state and local level.	Previous NC and First BUR.	Update of GHGs mitigation policies and actions to 2016.	The Climate Change policy to update actions for compliance with the Paris Agreement. The reported GHGs mitigation actions were reviewed and validated by public, productive and social sectors (where information was available, up to 2018). A quality control methodology is under development for mitigation actions reported by different sectors.	<ul style="list-style-type: none"> - Sixth NC - 2017 PIR - 2016Audit - MTE - Interviews 	HS
Result 3. The national, regional and local impacts, vulnerability and adaptation options have been evaluated and reported; information on impacts and vulnerability, as well as the actions on adaptation have been updated						
Product 3.1 Studies have been prepared in relation to ecosystems, multidimensional and integrated evaluation of impacts, vulnerability and	Studies prepared based on an evaluation of an integrated, multidimensional ecosystem on the impacts, vulnerability and actions, programs and adaptation	Without previous experience using this focus.	Availability of technical studies, reports on evaluations of impacts, vulnerability and options of adaptation, using this focus,	Studies, reports and research developed are available on the INECC Web page.	<ul style="list-style-type: none"> - Sixth NC - 2017 PIR - 2016Audit - MTE - Follow-up report to consultancies: (PNUD, 2018 d) 	HS



Logical framework to evaluate the results of the Project Sixth NC						
Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
adaptation actions, programs and strategies	strategies.		and enhancement of regional scenarios.		<ul style="list-style-type: none"> - Interviews https://www.gob.mx/inecc/documentos/investigaciones-2018-2013-en-materia-de-mitigacion-del-cambio-climatico	
Product 3.2 Actions on impacts, vulnerability, resilience and adaptation actions implemented were updated to 2016	Adaptation actions implemented, as well as vulnerability and resilience with update to 2016.	Previous NC.	Update of presented impacts, vulnerability, resilience and actions implemented.	Impacts updated to 2016. The National Climate Change Vulnerability Atlas was prepared and is available on-line. The Guideline of High Impact Local Actions in Mitigation and Adaption in Tourist Destinations of Mexico was published. The Water Vulnerability Atlas for Mexico before Climate Change: Effects of Climate Change on Water Resources in Mexico was prepared, as well as a tool for Rapid Diagnostic of Vulnerability to Climate Change in Protected Natural Areas, two tools for monitoring and evaluating actions and adaptation, and a platform is being developed to identify/collect the adaptation measures for Mexico.	<ul style="list-style-type: none"> - Sixth NC - 2017 PIR - 2016 Audit - MTE - Interviews http://atlasvulnerabilidad.inecc.gob.mx/anvcc_v3/	HS



Logical framework to evaluate the results of the Project Sixth NC

Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
Product 3.3 Reports and pilot studies for key adaptation options identified in the Fifth National Communication and other projects (including materials for increasing public awareness) were developed	Report on pilot projects implemented from key adaptation options, identified in the 5NC and other projects, and implementation of new pilot projects, including awareness building materials.	5NC and other projects	Report on pilot projects implemented and materials for awareness (info graphs) available.	A report on pilot projects on "Harvesting Water as an Adaptation Measure" and "Adaptation of coastal wetlands of the Gulf of Mexico against the impacts of climate change". A massive, open, on-line course was designed in relation to adaptation to climate change. A platform is under construction to monitor and evaluate adaptation in Mexico in order to prepare public policies based on evidence.	<ul style="list-style-type: none"> - Sixth NC - 2017 PIR - 2016Audit - MTE https://www.youtube.com/results?search_query=inecc https://www.gob.mx/inecc/articulos/insc-ribete-al-curso-en-linea-en-materia-de-adaptacion-al-cambio-climatico	HS
Product 3.4 The portfolio of adaptation actions was updated to 2016	Portfolio of adaptation actions updated to 2016.	5NC	Updating the portfolio of adaptation actions presented.	Portfolio of actions updated to 2016 and presented.	<ul style="list-style-type: none"> - Sixth NC - 2017 PIR - 2016Audit - http://encuentronacional.cambioclimatico.gob.mx/ 	HS
Result 4. Relevant information has been compiled and updated						
Product 4.1 The information on National Circumstances after 2016 has been reported, including national priorities in	Report on National Circumstances to 2016, including development priorities and institutional arrangements, as well as gender issues.	Previous NC and First BUR, preliminary study in gender issues	National Circumstances updated, presentation of regional development priorities and	National circumstances were updated. Several tools and institutional and public policy mechanisms were established and strengthened to face climate change; among them can be found both institutional	<ul style="list-style-type: none"> - Sixth NC http://encuentronacional.cambioclimatico.gob.mx/	HS



Logical framework to evaluate the results of the Project Sixth NC

Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
national and regional developments and the institutional arrangements, as well as gender topics.			institutional arrangements, and updating of information on gender issues	arrangements, as well as legal instruments of planning, economics, and for evaluation of the policy to face climate change. The adaptation and mitigation goals incorporate gender equality.		
Product 4.2 Information and research on clean technologies and low in carbon were conducted, including information on access and technology transference, and development of capacities	Information on research done on clean technologies low in carbon, including information on access and technology transference, and reported capacity development.	Some information in the 5NC.	Information on research and investment in clean technologies low in carbon, on methodologies developed for growth paths low in carbon emissions and on measures related to access and transference of the technologies presented.	Studies on LEDS were conducted, among others: <ul style="list-style-type: none"> - Analysis of public policy tools to stimulate energy valuation of urban waste in Mexico and proposals to enhance and expand them. - Sources of financial resources identified in projects for using the energy value of urban solid waste and special waste in Mexico. - Technical guideline for handling and using the biogas generated in wastewater treatment plants. - Guidelines for safe use of biogas technology. - Urban solid waste incineration plants. - Potential for energy valuation of urban solid waste in Mexico. 	<ul style="list-style-type: none"> - Sixth NC - 2017 PIR - MTE 	HS
Product 4.3 Information,	Updated information and reported on	Previous NC	Updated information to	Information updated to 2018 presented in the Sixth NC.	- Sixth NC	HS



Logical framework to evaluate the results of the Project Sixth NC						
Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
research and systematic observation in relation to education and capacities development were updated and reported	research and systematic observation, creation of capacity and activities for awareness building.		2016 presented in the Sixth NC.			
Product 4.4 Information on financial resources and the necessary and foreseen technical support was reported for activities related to climate change and for preparation of the SC, including its BUR	Information on financial resources and the technical assistance required for the activities related to climate change, as well as preparation of the Sixth NC, including its corresponding BUR.	Previous NC and First BUR	Information presented in the Sixth NC.	<p>The gross cost of mitigation measures and the institutional arrangements necessary for implementing the actions was quantified.</p> <p>A study was conducted on funding needs for climate change in Mexico and of the funding options available.</p> <p>Reports and audits on the disbursement of financial resources are available for preparation of the Sixth NC and BUR.</p>	<ul style="list-style-type: none"> - Sixth NC - 2017 PIR - 2016Audit - MTE - Cost summary of the NEC: (INECC, S.F. a) - Combined Delivery Report 2015, 2016, 2017 y 2018. - Interviews. 	HS
Result 5. Sixth National Communication, including its BUR has been approved by the Inter-secretarial Climate Change Commission						
Product 5.1 The Sixth NC has been published and	Publication and presentation of the Sixth NC.	Previous NC.	Publication of the Sixth NC; also available at pertinent Web	The contents and main findings of the Sixth NC presented in September 2018 at the Third	http://encuentronacional.cambioclimatico.gob.mx/	S



Logical framework to evaluate the results of the Project Sixth NC

Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
sent to the United Nations Framework Convention on Climate Change on December 31, 2016			sites.	National Climate Change Meeting. The Sixth NC had not been published at the moment of the FE, but the final draft is in final edition to be published in November 2018.	- Sixth NC	
Product 5.2 A summary of the key findings for the public in general has been developed for December 31, 2016	Preparation of the summary of general findings for the general public.	Previous NC	Document on the main findings.	Summaries of the main findings to 2018 presented on-line and in printed form.	Summary NEC: (INECC, S.F. a) Summary NC: (INECC, S. F. b) Summary on evaluation: (INECC, S.F c) http://encuentronacional.cambioclimatico.gob.mx/	S
Product 5.3 A communications and development campaign for awareness has been prepared and implemented for December 31, 2016	Development and implementation of communications and awareness campaigns.	Previous NC	Materials on the communications implemented and the awareness campaigns available.	A YouTube channel was opened, as several Web pages and multiple awareness materials on the climate change actions were prepared, to increase awareness and develop capacities. A National Communication Campaign on Climate Change, a study on Perceptions on Climate Change, three National Climate Change Meetings and one workshop for communication media and one for state	http://encuentronacional.cambioclimatico.gob.mx/ . https://www.gob.mx/inecc/acciones-y-programas/informacion-sobre-el-cambio-climatico-16984	HS



Logical framework to evaluate the results of the Project Sixth NC						
Objective/result	Narrative of the Indicator	Base line	Foreseen result	Final result	Verification source	Grade ¹
				authorities were developed.		

Source: developed by evaluator based on (PNUD, 2012), (PNUD, 2015 a) y (PNUD, 2018 a) and interviews.

HS: Highly Satisfactory, S: Satisfactory

Color code

Green: complete, the indicator shows a successful attainment of goal

Yellow: the indicator shows an ending foreseen at the end of the project

Red: the indicator shows scarce results; unlikely that it will be completed by the end of the project



Based on what has been described above, it is verified that the Project development objective was attained (PNUD, 2015 a): the three levels of government, the private sector, academia and society in general have strengthened their capacities to diminish environmental degradation and to attain sustainable development of natural resources through the incorporation of the environmental perspective of sustainable development, low emissions development and green economy.

4.5 Efficiency

This section describes the efficiency that the project achieved, it is means the measure in which were delivered the results with the resources that the Project had (PNUD, 2012), describing the amounts planned vs. those executed and the activities supported by each planned result. Qualifications established by UNDP to evaluate the efficiency of a project are presented in section 4.2.

4.5.1 Project financing

The Project had a funding grant from GEF of USD\$ 3,636,364.00, a commission for the executor agency of USD\$ 363,636.00 and an in-kind contribution of Mexico's government of USD\$ 4,000,000.00. The executor agency (INECC) informs that the in-kind contribution during the period 2014-2017 was of USD \$ 3,200,000, equivalent to 24.3% of its total budget during the same period. This includes salaries of staff assigned to the Project, as well as the infrastructure and services (office rent, electricity, information technology support, telecommunications, etc.). The staff considered included high management, general coordination units, mid-level management and technical staff. Also, the MTE pointed out that by the end of the Project in 2018, the support percentage of the in-kind contribution from INECC would reach the committed amount of USD \$ 4,000,000.00, which represents 30.4% of its total budget. This added up to a total co-financing of USD\$ 7,636,364.00 for the Project¹⁰. Synergies were established with other projects such as the Canada Platform, as well as GEF authorization for the use of remaining resources from the Project BUR 1.

Up to June 2018¹¹, the amount spent was USD\$ 2,927,604.09 (80.51% of the total Project budget) and by the end of 2018, the Project Administrative Unit points out that the amount committed and executed is approximately USD\$ 662,214.45, which gives as a result, by the end of 2018 UDS\$3,589,818.54 will have been disbursed, that is 98.72% of the total project budget, leaving a remnant of USD\$ 46,545.46 for 2019. Up to June 2018, the executed budget amounts to USD\$ 489,718.74 (42.71% of the planned annual budget).

The total budget was distributed among the five specific objectives (or planned results) and a sixth relative to the implementation of the Project NC. The Prodoc established the following expense proportion by

¹⁰ Since said data have been collected and validated by the MTE in August 2018, it was not necessary to validate the information again with the INECC administrative area.

¹¹ Combined Delivery Report approved and validated more recently.



result: 39.10% for Result 3 (actions on vulnerability and adaptation), 31.10% on Result 2 (LEDS strategies and mitigation actions), 16.01% on Result 1 (emissions database), 5.87% on Result 4 (relevant information compiled), 4.76% on Result 6 (Project implementation) and 3.16% for Result 5 (presentation and approval of the Sixth NC). The proportion of disbursed resources to June 2018 presented a change of what had been planned as shown in the following table.

Planned budget by result vs. executed budget (to June 2018)				
Result	Amount (USD)			
	Planned		Executed	
	Total by result	% respect to total budget	Total by result	% respect to total budget (to June 2018) *
Result 1. National Emissions Database has been enhanced and updated.	582,245.00	16.01%	240,543.57	6.61%
Result 2. Knowledge for development of strategies for low emissions (LEDS) has been developed in Mexico and GHG mitigation policies and actions implemented or foreseen have been updated.	1,130,797.00	31.10%	1,192,027.73	32.78%
Result 3. National, regional and local impacts, vulnerability and adaptation options have been evaluated and reported; the information on impacts and vulnerability, as well as the adaptation actions have been updated.	1,421,922.00	39.10%	674,133.27	18.54%
Result 4. Relevant information has been compiled and updated.	213,325.00	5.87%	344,940.13	9.49%
Result 5. The Sixth National Communication, including its BUR has been approved by the UNFCCC.	114,915.00	3.16%	297,963.90	8.19%
Result 6. Project implementation.	173,160.00	4.76%	177,995.49	4.89%
TOTALS	3,636,364.00	100%	2,927,604.09	80.51%

Source: **developed by evaluator** based on (PNUD, 2015 a), (PNUD, 2015 b), (PNUD, 2016), (PNUD, 2017 c). (PNUD, 2018 c)

*This table would need to be updated at the closure of the Project in order to know the final proportion of resources executed per result.

To evaluate the impact (positive or negative) that had the real distribution of the budget, the consultant considered that:

- It is necessary to wait to the end of the Project to have the final distribution (since there are still consultations underway).
- It is recommended to analyze the causes of the redistribution of resources by component to include it as a good practice, area of opportunity, lesson learned as appropriate and their respective recommendations.

The distribution of resources relative to consultancies indicates that they were as follow according to planned results (up to August 2018) (PNUD , 2018 g):



- 45.14 % to Result 4 (relevant information).
- 27.02 % to Result 2 (mitigation).
- 24.45 % to Result 3 (vulnerability and adaptation).
- 2.19% to Result 1 (emissions database).
- 1.20 % to the mid-term and final evaluation.

Of the 18 specialists hired, they were assigned in the following way according to planned results:

- 7 to Result 4 (relevant information).
- 4 to Result 6 (Project implementation) (PCU and PAU staff).
- 3 to Result 1 (emissions database).
- 3 to Result 3 (adaptation).
- 1 to Result 2 (mitigation).

On the other hand, the budget spent by year was different than what was annually planned, since the year 2015 was mainly dedicated to planning the work and buying computer equipment, and studies, consultancies, etc. were performed up to 2016. On the other hand, some of the planned activities were refocused, based on signing the Paris Agreement on behalf of Mexico so that the country can reach the emissions reductions agreed to in said document. The INECC and UNDP considered that these changes did not affect obtaining the planned results; on the contrary, it adapted and supported the context and requirements of the counterpart. However, the consultant identifies that the differences between planned and executed in 2015 and 2016 are very large, suggesting to take into consideration for the budget planning of the following projects, lessons learned from this Process that also lead to the increased production of project results and the granting of resources in 2017.

Planned budget by year vs. executed budget (USD)

2015			2016			2017			2018		
Planned*	Executed	% Executed vs. planned	Planned*	Executed	% Executed vs. planned	Planned*	Executed	% Executed vs. planned	Planned**	Executed (to June)	% Executed (to June) vs. planned (annual)
819,286	39,085	4.77%	1,613,428	636,278	39.44%	1,203,650	1,762,522	146.43%	1,151,933	489,718	42.51%

*Data based on Prodoc original planning.

**Data based on Project extension to 2018.

The audit reports indicate that services contracted were to cover the needs and objectives of the Work Plan, with transparency and competitiveness; that the inventory of goods coincides with the corresponding disbursement; that disbursements were made according to UNDP standards and that the accounting records of the executor agency are appropriate for control and administration of the received funds and their disbursement. It concludes that no findings or observations were identified (Prieto, Ruiz de Velasco y Cía. S. C., 2016).

Finally, in order to know the final efficiency of the project and the benefits and impacts that all the consultancy and contracts generated in an integral way, the consultant recommends that the INECC/UNDP



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undertake a detailed analysis of the consultancy Carried out, the results that they threw, the way in which the generated information was released and used by the different Coordinations of the INECC (to avoid duplication of studies and/or activities).

Also, and to enhance the benefits of the generated information it is important to define a mechanism to disseminate, the results of the contracted consultancies to the general public.

4.5.2 Efficiency in use of local resources

It should be pointed out that in capacities strengthening and use of local resources, 83.1 % of contracts (SC & IC) undertaken by the Project were national and only 10 % were foreign.

4.6 Sustainability

The sustainability of the project is the likely ability to continue to provide benefits for a period after completion. This can be both environmental, financial and social (UNDP, 2012). Sustainability is qualified by UNDP as:

- **Likely (L):** There are negligible risks to sustainability.
- **Moderately Likely (ML):** There are moderate risks.
- **Moderately Unlikely (MU):** There are significant risks.
- **Unlikely (U):** presence of serious risks.

In this way the Project sustainability is considered by the Consultant as likely since moderate risks were identified for the benefits of the Project to continue once it has concluded. As a part of the project sustainability strategy, the following planned actions were identified:

- a workshop programed for February of 2019 on lessons learned in the preparation process of the Sixth NC.
- technical and administrative planning for project closure (quality control of technical supplies and administrative closure). Development of a microsite for the 6NC and a mechanism that ensures its sustainability (<https://cambioclimatico.gob.mx/>).

4.6.1 Institutional framework and stakeholders participation

The change of federal government administration to take place on December 1, 2018, is considered both by the Consultant and all stakeholders (directly and indirectly) in the integration of the 6 CN as a risk for Project sustainability if this results in a change of the head of INECC. Even if this does not happen, the change of the head of SEMARNAT represents a moderate risk, although based on the LGCC the INECC is



autonomous, it's important to maintain a strategic path in the environmental sector on the importance and course of Mexican climate policy.

With respect to the institutional framework, risks were not identified due to their recent formation and consolidation and to the autonomous character of the institute.

In relation to stakeholder participation the Consultant identified a moderate risk in the case of changes in the head of the institute and if this leads to changes in management and technical staff. The technical strength of INECC staff plus the evidence of capacities development attained during the preparation process of the Sixth NC, as well as stakeholder participation attained by the Project, contribute to diminish this risk.

The Evaluator considers that it is necessary to communicate these results to the new administration and strategic partners that will play an active role in the consultation process for the new National Development Plan, the environmental sectorial program and the national climate policy. Also, it is absolutely necessary to highlight that the tools and platforms developed will require updating and trained staff, which makes it important to maintain the current staff at INECC, in particular due to the institutional thinning policy that the new federal administration has announced will be implemented.

On the other hand, a large number of interviewed actors pointed out it is important to strengthen the CICC and the existing mechanisms for coordination between federal government agencies in order to ensure continuity of the climate change policy and its inclusion in the country's development. Also, develop mechanisms for maintaining close communication and collaboration of the sectors involved in compliance of the NDC and in the process of integrating the Sixth NC.

4.6.2 Socio-economic aspects

Present social risks, in addition to the administrative political changes already mentioned, are the difficulties to maintain the generated information on climate change updated, and also that the inertia attained to report is stopped until a new process for the integration of the Seventh NC is started. This responds to the absence of an information gathering and feedback system.

Hence, it is important that the different key stakeholders know the benefits of the Project and the use and improvement of data and tools generated will be maintained through their interest and interaction. Based on the previous, the socio-economic sustainability is somewhat probable.

4.6.3 Financial sustainability

The Consultant considers that the financial sustainability is moderately likely due to the existing risk of the new federal policy of the current administration that seeks to diminish the public budget for all sectors. Therefore it is very important to have the financing support from GEF in order to be able to prepare the Seventh NC and maintain the benefits of this Project. The uncertainty that comes with the change of government also shows a low probability that the private sector be a possible donor. Not having a UNDP



(PCU & PAU) support component that includes a high administration, monitoring and tracking of activities capacity, also could put at risk the current work of INECC.

In addition to GEF resources (main donor for the preparation of the Sixth NC) it is important to identify and establish financial synergies with other donors or projects that allow continuity of the tasks; as well as, the multiplication and expansion of development and sustainability actions linked to implementation and strengthening the climate change agenda (especially facing a 32% Budget reduction assigned to the Mexican environmental sector in 2019 (Fundar, Centro de Análisis e Investigación, 2019).

Also, it is necessary to identify new financial and support mechanisms for developing capacities, innovation and technology transference that the new federal government might implement. This could be linked to the climate change topic, as well as to explore the amount of public funds (contributions from local governments) and resources from other cooperation agencies that have a climate change agenda, including from the private sector.

4.7 Impact

The impact of a project corresponds to the real or anticipated changes, positive or negative in the benefit of the global environment as verified through the environmental tension or the change of state and also through the impacts of sustainable development, including income changes. As noted in the chapter on evaluation methodology, the present evaluation analyzed whether the 6CN project established (or not) the conditions for fostering lasting improvements in Mexico's socioeconomic and environmental status the impact may be qualified as (UNDP, 2012):

- Significant (S)
- Minimum (M).
- Insignificant (I).

It is considered by the Consultant that the Project had, based on what has been said in the previous chapters, a significant impact to establish conditions, components and processes to enhance the socio-economic and environmental status of Mexico, strengthen the development of capacities in Mexicans and institutions in relation to climate change and support national development priorities.

The following table shows, based on the information presented in this document, the yield grade of the Project.

Project performance rating			
1. Follow-up and Evaluation	Grade	2. Execution IA & EA:	Grade
Entrance design for F&E	S	Quality of UNDP application	HS
Execution of F&E plan	MS	Quality of execution: executor agency	HS
General quality of F&E	S	General quality of application and execution	HS
3. Evaluation of results	Grade	4. Sustainability	Grade
Relevance	S	Financial resources:	S



Effectiveness	HS	Socio-political:	S
Efficiency	HS	Institutional framework and stakeholder participation:	HS
General grade of project results	HS	Environmental:	S
		General probability of sustainability:	ML

HS: Highly Satisfactory, S: Satisfactory, MS: Moderately Satisfactory, ML: Moderate Likely.

Source: Table of the Evaluation Guideline UNDP-GEF (PNUD, 2012), fed based on (PNUD, 2015 a), (PNUD, 2018 a) (PNUD, 2018 b), (INECC, 2018), (PNUD, 2018 c), (CMNUCC, 2004), (CMNUCC, S. F.) and interviews.

5. Conclusions

- The Project:
 - was relevant since it inserted and supported national priorities relative to development established in the National Development Plan 2013-2018 and in the Special Climate Change Program 2014-2018 and the climate change agenda of Mexico;
 - was effective and generated very satisfactory results, by attaining the five planned objectives ((the Sixth NC and BUR were presented within the framework of the 24th edition of the Conference of the Parties of the Climate Change Convention (COP24), that took place in Katowice, Poland in December 2018 and was published -<https://cambioclimatico.gob.mx/->) (INECC, 2018) , it also attained its objectives through implementing planned strategies;
 - the Sixth NC and the Second BUR (the BUR is an annex of the Communication), which comply in structure with the UNFCCC guidelines;
 - generated and/or updated research, data, tools, platforms and capacity development in relation to GHG emissions database, mitigation actions and strategies in development of low carbon emissions, adaptation and vulnerability to climate change. Also, it increased knowledge and awareness of the population on climate change, its impacts and the actions that can be implemented to stop it, thereby it attained its objective “strengthen institutional capacity to establish climate change strategies in the national development priorities;
 - had a significant impact on developing knowledge, capacities, methodologies, tools, inter-institutional synergies and public policies that contribute to stop climate change;
 - was very efficient in implementing planned actions based on a planned budget and for utilizing local capacity during its execution; and
 - the sustainability of the project indicates that it is somewhat probable that Mexico will continue preparing NC’s and that the benefits attained by the project will continue when it ends.
- The Project structure, strategies and activities supported the process of harmonization, adaptation and updating of the Mexican climate policy towards attaining the goals of compliance with the Paris Agreement by Mexico.
- First NC where all areas of the institution participated, which provided trans-versatility to the climate change operations within the INECC.



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6^a
Comunicación
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- The Sixth NC and the INECC built each other mutually since it, instituted in 2012 based on article 13 of the LGCC, was also in process of consolidation due to its new functions and organic structure derived from said law.
- The process of preparing the Sixth NC was the key in institutional strengthening of the INECC, since it served as an articulation entity of the actions and as a communications bridge in an institution under construction (collective process of maturation).
- The Project had adequate participation of stakeholders, with permanent involvement and of a high level in the case of INECC and UNDP through the Project Board.
- UNDP represented a key technical, administrative and catalyzing factor.
- The Project had access to a Country Office, Coordination Unit and Administrative Unit with great experience and high sensitivity to context, needs and institutional dynamics of INECC.
- The PCU and PAU established effective processes for development, exercise, monitoring and follow-up of activities and resources, although there were periods of time when administrative paperwork for hiring studies and consultancies were very lengthy.
- The Project included adequate risk management. The only one that remained present until the end of the evaluation was the delay in publication of the Sixth NC.
- The most valuable part of the INECC is to do applied science and the Sixth NC helped in this.
- The MTE was done after the Project mid-term, since originally it was supposed to last only two years and did not require this evaluation. After its extension and based on GEF-UNDP guidelines, MTR evaluation was found necessary. The TE was undertaken before the Project ended in order to avoid risks due to the change of the Federal Administration, since closure of the Project and the administration coincided.
- The Sixth NC serves to inform, generate demand in the topics and should serve each time more for decision making.

6. Lessons learned

- Establishment of a solid management of the Project influences significantly in its progress and in attaining its objectives.
- Project flexibility to adjust to the national and international context helped in attaining more effective results for the country.
- Sensitivity to institutional context also helped establish a cooperation framework between the parties of the Project.
- Adequate risk management and prompt decision making made the change in National Project Coordinator a positive move for the project and did not significantly affect its programming.
- High flexibility in adjusting times for delivery of products (chapters) on the part of INECC, led to significant delays in the publication of the Sixth NC.
- The establishment of the participative and transparent process implemented by INECC to prepare the Sixth NC through a close and continuous communication (by means of workshops, work



meetings, forums, training, etc.) with the priority sectors, contributed to establish and maintain the climate change agenda in different sectors, established communication bridges between these and the institution, facilitated data contribution from the sectors, as well as INECC support for strengthening methodologies (for estimating and reducing emissions, etc.) in different public and private institutions.

- The industrial sector pointed out the fact that the INECC had not undertaken, through work meetings, a final validation of the information generated from the data provided, affected the transparency in the integration of the Sixth NC and the acceptance of said data as valid for some institutions of the private sector (primarily the costs of the Nationally Determined Contributions – NDC-).
- The results of assessments of a prior Communication not delivered at the beginning of the design process of the new NC, did not offer the possibility to take advantage of the lessons learned and recommendations derived from them in the new project.
- The completion of the Midterm Review after the intermediate stage of the Project does not give the opportunity to take the information on its performance into account to implement actions for its reorientation and strengthening.

7. Recommendations

Recommendation	Responsible
Design:	
Share the results of the Project evaluations in a timely manner with the counterpart.	UNDP
Integrate from the beginning of the design of the National Communications, the vision of what the actors external to INECC consider Mexico requires of and in an NC.	INECC/UNDP
Establish from the project beginning a commented outline of the questions that require answers with the document that will become the National Communication.	INECC/UNDP
Develop from the beginning of the project the instructional design of the publication of the Sixth NC in order to develop with pedagogical tools its preparation and design of the final product with a focus towards the different users.	INECC/UNDP
That the contents of the NC be more succinct and focused on decision making by the different actors and sectors.	INECC/UNDP
For development of the Seventh National Communication, establish work groups that identify the ideal form to maintain and reflect the information in the document, so that this assists more decision making (considering the guidelines of the UNFCCC with respect to objective and focus of the NCs).	INECC/PNUD
Establish a system for tracking and monitoring on the degree of satisfaction of the external actors on the process of integrating the NC, with specific indicators.	INECC/UNDP
Include in the design of the MTE and FE that the interviews cover external actors to the process of preparation.	UNDP/INECC
Design a Project general critical route and also a critical route for each one of the INECC coordination offices.	INECC/UNDP
Execution:	
Request project extensions based on the dates established in the GEF-UNDP	UNDP



Recommendation	Responsible
guidelines.	
Carry out the MTE in the intermediate stage of the Project and share the results of the evaluations with the counterpart.	UNDP
Establish a systemized reporting process on climate change that aligns the reports and makes more effective, efficient and sustainable the gathering of National information to be used in the NC.	UNDP/INECC
Define a validation process of the information generated from the data provided by the private sector.	UNDP/INECC
Work even closer with the subnational governments and in a systemic manner.	INECC/UNDP
After the presentation of the Sixth NC publication, undertake a consultation and socialization process of the Sixth NC.	INECC/UNDP
Design a monitoring system that will allow identifying the perception of the different sectors on the preparation process of the Sixth NC.	UNDP/INECC
Establish a feedback mechanism on information, scenarios, mitigation projections and costs generated by INECC based on data provided by different sectors (in particular by the private sector).	UNDP/INECC
That mid-term and final evaluations be conducted at the ideal time of the projects so that their results support the Project in the most effective manner.	UNDP
Strengthen the CICC and the existing mechanisms for coordination between federal government agencies in order to ensure continuity of the climate change policy and its inclusion in the development of the country. Also, develop mechanisms to maintain close communication and collaboration with the sectors involved in compliance of the NDC and the preparation process of the Sixth NC.	INECC/PNUD
To make known to the general public the results of the consultancies contracted by the Project so that it is information that can be used by all the interested parties.	INECC/UNDP
Sustainability	
Carrying out a detailed analysis of the consultancies, the results that they gave, the way in which the information generated was made known and used by the different Coordinations of the INECC (to avoid duplication of studies and / or activities) to know the final efficiency of the Project and the benefits and impacts that were generated in an integral way by all the consultancies and hirings carried out.	INECC/UNDP
Conduct a meeting (INECC, SEMARNAT, UNDP) on lessons learned through the preparation process of the Sixth NC.	UNDP/INECC
Identify strategic partners for the Project that will promote the climate agenda and development of the NC and National Development Plan.	INECC
After the presentation of the Sixth NC publication, conduct a consultation and socialization process of the Sixth NC Publication with the different sectors.	INECC/UNDP
Undertake a lessons learned workshop with the CICC and external actors that will allow socializing the results and feeding the design of the Seventh NC.	INECC/UNDP
Make a summary of actions in relation to capacities development and institutional strengthening attained with the Sixth NC to present to the new administration of INECC and SEMARNAT.	INECC/UNDP
Incorporate the results of the Sixth NC in the cooperation agenda of UNDP with the new administration.	UNDP
Make a document and/or video of the activities executed within the framework of the Sixth NC so that external actors can have clarity on all of the results generated by an	UNDP/INECC



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Recommendation	Responsible
NC and do away with the perception that the NC are just publications.	
Establish a map of key actors, opportunities and barriers to be surpassed in preparing the Seventh NC.	UNDP/INECC
Continue with staff training programs in federal and state agencies in estimating GHG emissions, as well as with developing EF typical for the country.	INECC
Socialize constantly data and methodologies	INECC
Make available to the public the studies that were undertaken during the process of preparing the Sixth NC.	INECC/UNDP
Maintain current contact data and work topics of people and institutions that compose the national system for climate change within the national scope and that was obtained with the Sixth NC.	UNDP
Design a monitoring and tracking system of the degree of satisfaction of the external actors and the quality of the information provided, to establish a mechanism for co-responsibility of the report.	UNDP/INECC
Once the Sixth NC is published, notify the actors that participated and mention that the efforts will continue to maintain active the process of reporting and gathering information on climate change.	INECC
Focus the Seventh NC on institutionalizing and organizing tools for gathering and validation of information.	INECC/UNDP
Establish a reporting system in relation to climate change, which moves forward to develop guidelines for reporting.	UNDP/INECC
Identify new financing mechanisms that support the national climate agenda (new mechanisms that the new government would implement, amount of public resources –local government contributions- and resources from other cooperation agencies that have a climate change agenda, as well as the private sector).	INECC/PNUD

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Annexes

Annex 1. Terms of reference

INTRODUCCIÓN

De acuerdo con las políticas y los procedimientos de seguimiento y evaluación (SyE) del PNUD y del Fondo para el Medio Ambiente Mundial (FMAM), todos los proyectos de tamaño mediano y regular respaldados por el PNUD y financiados por el FMAM deben someterse a una evaluación final una vez concluida la ejecución. Estos términos de referencia (TdR) establecen las expectativas de una Evaluación Final (EF) del Proyecto *Sexta Comunicación Nacional de México ante la Convención Marco de las Naciones Unidas sobre Cambio Climático* (PIMS # 4933).

A continuación, se presentan los aspectos esenciales del proyecto que se deben evaluar:

CUADRO SINÓPTICO DEL PROYECTO

Título del proyecto: Sexta Comunicación Nacional de México ante la Convención Marco de las Naciones Unidas sobre Cambio Climático				
Identificación del proyecto del FMAM:	4933		<u>al momento de aprobación (millones de USD)</u>	<u>al momento de finalización (millones de USD)</u>
Identificación del proyecto del PNUD:	00085488	Financiación del FMAM:	3,636,364	3,636,364
País:	México	IA y EA poseen:	na	
Región:	América Latina	Gobierno:	4,000,000	4,000,000
Área de interés:	Cambio climático	Otro:		
Programa operativo:	CC M6	Cofinanciación total:	7,636,364	
Organismo de Ejecución:	INECC	Gasto total del proyecto:	2'895,328.25	
Otros socios involucrados:		Firma del documento del proyecto (fecha de comienzo del proyecto): Julio 2015		
		Fecha de cierre (Operativo):	Propuesto: 31 Diciembre 2018	Real: 31 Diciembre 2018



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OBJETIVO Y ALCANCE

El proyecto se diseñó para preparar la Sexta Comunicación Nacional de México ante la Convención Marco de las Naciones Unidas sobre Cambio Climático (CMNUCC) y su Reporte Bial (BUR por sus siglas en inglés) y con ello fortalecer la capacidad institucional para integrar estrategias de cambio climático en las prioridades nacionales de desarrollo. Para lograrlo, el proyecto plantea cinco resultados:

Resultado 1. Inventario Nacional de Gases y Compuestos de Efecto Invernadero (INEGYCEI) mejorado y actualizado.

Resultado 2. Se ha desarrollado conocimiento sobre estrategias de desarrollo bajo en emisiones en México (LEDS por sus siglas en inglés) y se han actualizado y reportado políticas y acciones de mitigación implementadas.

Resultado 3. Se han evaluado impactos, vulnerabilidad y opciones de adaptación basadas en ecosistemas, comunidades humanas y reducción de riesgos de desastres a nivel regional, local y nacional y se han actualizado los impactos y vulnerabilidades reportadas, así como las acciones de adaptación instrumentadas.

Resultado 4. Se ha compilado y actualizado información relevante [para establecer las circunstancias nacionales y otros temas vinculados a la mitigación y la adaptación].

Resultado 5. La Sexta Comunicación Nacional y su Informe Bial (BUR por sus siglas en inglés) ha sido aprobada por la Comisión Intersecretarial De Cambio Climático (CICC).

Para llevar a cabo el proyecto, el Gobierno de México y el Fondo para el Medio Ambiente Mundial establecieron un acuerdo de colaboración por medio de un proyecto *full size* en la modalidad de implementación nacional (NIM-modality). Sus actividades son ejecutadas por el Instituto Nacional de Ecología y Cambio Climático (INECC) e instrumentadas por el Programa de las Naciones Unidas para el Desarrollo (PNUD México).

El INECC es un organismo público descentralizado de la administración pública federal, con personalidad jurídica, patrimonio propio y autonomía de gestión, sectorizado en la Secretaría de Medio Ambiente y Recursos Naturales. Tiene entre sus funciones evaluar el cumplimiento de los objetivos de adaptación y mitigación previstos en la Ley General de Cambio Climático, así como las metas y acciones contenidas en la Estrategia Nacional de Cambio Climático, el Programa Especial de Cambio Climático y los programas de las entidades federativas. Asimismo, tiene entre sus atribuciones, la integración de la información para elaborar las comunicaciones nacionales que presenten los Estados Unidos Mexicanos ante la CMNUCC.

El Programa de las Naciones Unidas para el Desarrollo (PNUD) es la red mundial de las Naciones Unidas para el Desarrollo que promueve el cambio y conecta a los países con los conocimientos, la experiencia y los recursos necesarios para ayudar a los pueblos a forjar una vida mejor. El PNUD está presente en 166 países, trabajando con los gobiernos y las personas para ayudarles a encontrar sus propias soluciones a los retos mundiales y nacionales del desarrollo.

La EF se realizará según las pautas, normas y procedimientos establecidos por el PNUD y el FMAM, según se establece en la Guía de Evaluación del PNUD para Proyectos Financiados por el FMAM disponible en http://web.undp.org/evaluation/documents/guidance/GEF/GEFTE--Guide_SPA.pdf

La evaluación analizará el logro de los resultados del proyecto y extraerá lecciones que puedan mejorar la sostenibilidad de beneficios de este proyecto y ayudar a mejorar de manera general la programación del PNUD.



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ENFOQUE Y MÉTODO DE EVALUACIÓN

Se ha desarrollado con el tiempo un enfoque y un método general¹² para realizar evaluaciones finales de proyectos respaldados por el PNUD y financiados por el FMAM. Se espera que quien realice la evaluación enmarque el trabajo de evaluación utilizando los criterios de **relevancia, efectividad, eficiencia, sostenibilidad e impacto**, según se define y explica en la Guía para realizar evaluaciones finales de los proyectos respaldados por el PNUD y financiados por el FMAM. Se redactó una serie de preguntas que cubre cada uno de estos criterios incluidos en estos TdR. Se espera que el/la evaluador/a modifique, complete y presente esta matriz como parte de un informe inicial de la evaluación, y la incluya como anexo en el informe final.

La evaluación debe proporcionar información basada en evidencia que sea creíble, confiable y útil. Se espera que el/la evaluador/a siga un enfoque participativo y consultivo que asegure participación estrecha con homólogos de gobierno, en particular el Centro de Coordinación de las Operaciones del FMAM, la Oficina en el País del PNUD, el equipo del proyecto, el Asesor Técnico Regional del FMAM/PNUD e interesados clave. Se espera que el/la evaluador/a realice una misión de campo en Ciudad de México. Las entrevistas se llevarán a cabo con las siguientes organizaciones e individuos, como mínimo:

- Dirección General del Instituto Nacional de Ecología y Cambio Climático
- Coordinación General de Mitigación del Cambio Climático (INECC)
- Coordinación General de Adaptación al Cambio Climático (INECC)
- Coordinación General de Crecimiento Verde (INECC)
- Coordinación General de Contaminación y Salud Ambiental (INECC)
- Coordinación General de Cambio Climático para la Evaluación de las Políticas de Mitigación y Adaptación (INECC)
- Dirección de Vinculación y Seguimiento Internacional (INECC)
- Dirección de Comunicación Social (INECC)
- Dirección General de Políticas para el Cambio Climático (SEMARNAT)
- Dirección General Adjunta de Esquemas de Financiamiento Ambiental (SEMARNAT). Punto Focal Operativo del GEF.
- Unidad Coordinadora de Asuntos Internacionales (SEMARNAT)
- Punto Focal Operativo y Político de México ante el FMAM (SHCP)
- Dirección General de Temas Globales (Secretaría de Relaciones Exteriores)
- Programa de las Naciones Unidas para el Desarrollo en México (PNUD)
- Unidad Coordinadora del Proyecto
- Consultores externos del proyecto
- Personal del Proyecto bajo contrato de servicios

El/la evaluador/a revisará todas las fuentes de información relevantes, tales como el documento del proyecto, los informes del proyecto, incluidos el IAP/IEP anual y otros informes, revisiones de presupuesto del proyecto, examen de mitad de período, informes de progreso, herramientas de seguimiento del área de interés del FMAM, archivos del proyecto, documentos nacionales estratégicos y legales, y cualquier otro material que quien haga la evaluación

¹² To obtain more information on the evaluation methods, go to Manual de planificación, seguimiento y evaluación de los resultados de desarrollo, Chapter 7



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considere útil para esta evaluación con base empírica. En el **Anexo B** de estos Términos de Referencia se incluye una lista de documentos que el equipo del proyecto proporcionará a el/la evaluador/a para el examen.

CRITERIOS Y CALIFICACIONES DE LA EVALUACIÓN

Se llevará a cabo una evaluación del rendimiento del proyecto, en comparación con las expectativas que se establecen en el Marco lógico del proyecto y el Marco de resultados (**Anexo A**), que proporciona indicadores de rendimiento e impacto para la ejecución del mismo, junto con los medios de verificación correspondientes. La evaluación cubrirá mínimamente los criterios de: **relevancia, efectividad, eficiencia, sostenibilidad e impacto**. Las calificaciones deben proporcionarse de acuerdo con los siguientes criterios de rendimiento. Se debe incluir la tabla completa en el resumen ejecutivo de evaluación. Las escalas de calificación obligatorias se incluyen en el **Anexo D** de estos TdR.

Calificación del rendimiento del proyecto			
1. Seguimiento y Evaluación	calificación	2. Ejecución de los IA y EA:	calificación
Diseño de entrada de SyE		Calidad de aplicación del PNUD	
Ejecución del plan de SyE		Calidad de ejecución: organismo de ejecución	
Calidad general de SyE		Calidad general de aplicación y ejecución	
3. Evaluación de los resultados	calificación	4. Sostenibilidad	calificación
Relevancia		Recursos financieros:	
Efectividad		Socio-políticos:	
Eficiencia		Marco institucional y gobernanza:	
Calificación general de los resultados del proyecto		Ambiental:	
		Probabilidad general de sostenibilidad:	

FINANCIACIÓN/COFINANCIACIÓN DEL PROYECTO

La evaluación valorará los aspectos financieros clave del proyecto, incluido el alcance de cofinanciación planificada y realizada. Se requerirán los datos de los costos y la financiación del proyecto, incluidos los gastos anuales. Se deberán evaluar y explicar las diferencias entre los gastos planificados y reales. Deben considerarse los resultados de las auditorías financieras recientes, si están disponibles. El/la evaluador/a recibirá asistencia de la Oficina en el País (OP) y del Equipo del Proyecto para obtener datos financieros a fin de completar la siguiente tabla de cofinanciación, que se incluirá en el informe final de evaluación.

Cofinanciación (tipo/fuente)	Financiación propia del PNUD (millones de USD)		Gobierno (millones de USD)		Organismo asociado (millones de USD)		Total (millones de USD)	
	Planificado	Real	Planificado	Real	Planificado	Real	Real	Real



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Subvenciones								
Préstamos/concesiones								
• Ayuda en especie								
• Otro								
Totales								

INTEGRACIÓN

Los proyectos respaldados por el PNUD y financiados por el FMAM son componentes clave en la programación nacional del PNUD, así como también en los programas regionales y mundiales. La evaluación valorará el grado en que el proyecto se integró con otras prioridades del PNUD, entre ellos la reducción de la pobreza, mejor gobernanza, la prevención y recuperación de desastres naturales y el género.

IMPACTO

El/la evaluador/a valorará el grado en que el proyecto está logrando impactos o está progresando hacia el logro de éstos. Los resultados clave a los que se debería llegar en la evaluación incluyen si el proyecto demostró: a) mejoras verificables en el estado ecológico, b) reducciones verificables en la tensión de los sistemas ecológicos, y/o c) un progreso demostrado hacia el logro de estos impactos.¹³

CONCLUSIONES, RECOMENDACIONES Y LECCIONES

El informe de evaluación debe incluir un capítulo que proporcione un conjunto de **conclusiones, recomendaciones y lecciones**.

ARREGLOS DE APLICACIÓN

La responsabilidad principal para gestionar esta evaluación radica en la OP del PNUD en México. La OP del PNUD contratará a el/la evaluador/a y asegurará el suministro oportuno de viáticos y arreglos de viaje dentro del país, en caso de requerirse. El Equipo del Proyecto será responsable de mantenerse en contacto con quien realice la evaluación para establecer entrevistas con los interesados, organizar visitas de campo, coordinar con el Gobierno, etc.

¹³ A useful measure to know the impact of the progress obtained is the method of the Manual para la Revisión de Efectos Directos a Impactos (RoTI) prepared by the Office of Evaluation of GEF: ROTI Handbook 2009



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PLAZO DE LA EVALUACIÓN

La duración total de la evaluación será de 90 días naturales, de acuerdo con el siguiente plan:

Actividad	Período	Fecha de finalización *
Preparación¹⁴	10 días	13 al 24 de agosto
Misión de evaluación	15 días	27 de Agosto al 14 de septiembre
Borrador del informe de evaluación	10 días	17 al 28 de septiembre
Informe final¹⁵	10 días	20 al 30 de octubre

*El calendario final está sujeto a la fecha de adjudicación del contrato

RESULTADOS FINALES DE LA EVALUACIÓN

Se espera que el/la evaluador/a logre lo siguiente:

Resultado final	Contenido	Período	Responsabilidades
Informe inicial	El evaluador proporciona aclaraciones sobre los períodos y métodos	No más de 2 semanas antes de la misión de evaluación	El evaluador lo presenta a la OP del PNUD
Presentación	Resultados iniciales	Fin de la misión de evaluación	A la gestión del proyecto, OP del PNUD
Borrador del informe final	Informe completo, (por plantilla anexada) con anexos	Dentro del plazo de 3 semanas desde la misión de evaluación	Enviado a la OP, revisado por los ATR, las PCU, los CCO del FMAM.
Informe final*	Informe revisado	Dentro del plazo de 1 semana después haber recibido los comentarios del PNUD sobre el borrador	Enviado a la OP para cargarlo al ERC del PNUD

*Cuando se presente el informe final de evaluación, también se requiere que el evaluador proporcione un 'itinerario de la auditoría', donde se detalle cómo se han abordado (o no) todos los comentarios recibidos en el informe final de evaluación.

Las entregas de documentos se harán en formato word en versión editable y pdf según corresponda. Los documentos se enviarán vía correo electrónico y mediante memoria USB entregada en las oficinas de PNUD en México. Se requerirá copia impresa de la versión final del Informe tanto en español como en inglés.

¹⁴ Implies a startup meeting to deliver documents, review these for Start-up Report preparation and its validation on behalf of the CO & GEF and preparing the mission.

¹⁵ It considers preparing the report draft, its review on behalf of CO and GEF, and preparation of the final report.



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CALIFICACIONES DEL CONSULTOR O CONSULTORA QUE REALICE LA EVALUACIÓN

El consultor o consultora que realice la evaluación deberá tener experiencia previa en evaluación de proyectos similares. Será una ventaja el que cuente con experiencia en proyectos financiados por el FMAM. El informe final deberá entregarse tanto en español como en inglés. El/la evaluador/a que se seleccione no debe haber participado en la preparación o ejecución del proyecto ni debe tener ningún conflicto de intereses con las actividades relacionadas al mismo.

La persona que realice la evaluación debe reunir las siguientes calificaciones:

Mandatorias:

- Licenciatura en ciencias sociales, administrativas o ambientales
- Experiencia profesional de al menos 8 años
- Experiencia de trabajo con el PNUD y el FMAM
- Experiencia previa con metodologías de seguimiento y evaluación con base empírica
- Conocimiento técnico sobre medio ambiente y cambio climático
- Español e inglés avanzado

Deseables:

- Maestría en ciencias sociales, administrativas o ambientales
- Experiencia profesional internacional mayor a 8 años
- Experiencia previa en proyectos financiados por el FMAM
- Experiencia en el uso de las metodologías de seguimiento y evaluación de proyectos GEF
- Experiencia de trabajo en México, con instituciones gubernamentales, sector privado y organizaciones de la sociedad civil relacionadas.

ÉTICA DEL/LA EVALUADOR/A

El/la evaluador/a asumirá los más altos niveles éticos y deberá firmar un Código de conducta (Anexo E) al aceptar la asignación. Las evaluaciones del PNUD se realizan de conformidad con los principios que se describen en las Directrices éticas para evaluaciones del Grupo de Evaluación de las Naciones Unidas (UNEG).

MODALIDADES Y ESPECIFICACIONES DE PAGO

%	Hito
15%	Contra entrega del plan de trabajo, detallando la metodología a seguir en la Evaluación, así como el cronograma de actividades



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6^a Comunicación
Nacional

30%	Después de la presentación y aprobación del primer borrador del informe final de evaluación.
55%	Después de la presentación y aprobación del informe final definitivo de evaluación por parte de la Oficina de País (OP) y del Asesor Técnico Regional (ATR) del PNUD.

PROCESO DE SOLICITUD

Los candidatos deben atender la convocatoria que se publicará en la página web del PNUD México, en el siguiente vínculo <http://www.mx.undp.org/content/mexico/es/home/procurement.html>. La solicitud debe contener un currículo actual y completo en español, donde se indique un correo electrónico y un teléfono de contacto. Los participantes deberán presentar una oferta financiera que indique el costo total de la asignación (incluidos gastos diarios, viáticos y costos de viaje, en caso de no residir en la Ciudad de México), considerando que está prevista una misión de 10 días hábiles y una reunión de cierre del proyecto.

El PNUD utiliza un proceso de selección justo y transparente que considera las competencias/capacidades de los candidatos, así como sus propuestas financieras. Se alienta a las mujeres y a los miembros calificados de las minorías sociales para que presenten su solicitud.

MECANISMO DE EVALUACIÓN

Criterios de Evaluación	Cumple	No cumple
Mandatorios		
• Licenciatura en ciencias sociales, administrativas o ambientales		
• Experiencia profesional de al menos 8 años		
• Experiencia de trabajo con el PNUD y el FMAM		
• Experiencia previa con metodologías de seguimiento y evaluación con base empírica		
• Conocimiento técnico sobre medio ambiente y cambio climático		
• Español e inglés avanzado		
Deseables		
• Maestría en ciencias sociales, administrativas o ambientales		
• Experiencia profesional mayor a 8 años		
• Experiencia previa en proyectos financiados por el FMAM		
• Experiencia en el uso de las metodologías de seguimiento y evaluación de proyectos GEF		
• Experiencia de trabajo en México, con instituciones gubernamentales, sector privado y organizaciones de la sociedad civil relacionadas.		



ANNEX A: PROJECT RESULTS FRAMEWORK

This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD: MYFF03 – Public policies with increased mainstreaming and crosscutting of the environmental dimensión					
Country Programme Outcome Indicators: MYFF03 - Studies to implement public policy conducted on types of environmental impacts caused by economic activities					
Primary applicable Key Environment and Sustainable Development Key Result Area: 1. Mainstreaming environment and energy					
Applicable GEF Strategic Objective and Program: Climate Change Enabling Activity					
Applicable GEF Expected Outcomes: Sixth National Communication					
Applicable GEF Outcome Indicators: Sixth National Communication					
	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
Project Objective¹⁶ Strengthened capacity in integrating climate change national strategies into development priorities while fulfilling obligations to the UNFCCC.	1. National GHG inventory improved and updated to 2014 (1990-2014); 2. LEDS developed for several key sectors, and implemented or envisaged GHG mitigation policies and actions have been updated to 2016; 3. Impacts, vulnerability and adaptation options assessed and information updated to 2016; 4. National circumstances and additional information updated	1. Fifth NC and first BUR; 2. Fifth NC and first BUR; 3. Fifth NC; 4. Fifth NC and first BUR; 5. Fifth NC.	1. Sixth NC and BUR; 2. Sixth NC and BUR; 3. Sixth NC; 4. Sixth NC and BUR; 5. Sixth NC.	Project evaluations, official reports to the UNFCCC.	Risks: No major risks have been identified in the implementation of this project as the Government of Mexico is strongly committed to its obligations to the UNFCCC. Assumptions: The Government of Mexico maintains its support to implement the UNFCCC.

¹⁶ Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR



	and described; 5. Sixth national communication published, BUR presented, and information disseminated.				
Outcome 1 National GHG inventory has been improved and updated.	<p>1.1 Procedures for inventory development and management to enhance the current system evaluated and reviewed.</p> <p>1.2 Best practices in the elaboration of inventories adopted.</p> <p>1.3 Emissions of HFCs estimated and trends established with the collaboration of Montreal Protocol's Mexican Office.</p> <p>1.4 INEGEI updated to 2014 (1990-2014) for all GHGs, and inventory report produced.</p>	<p>1.1 Previous NCs, in particular the Fifth NC and the first BUR.</p> <p>1.2 Previous NCs.</p> <p>1.3 No previous experience with improved methodology.</p> <p>1.4 GHG inventory available on an annual basis for periods 1994-1996 (FNC), 1994-1998 (SNC), 1990-2002 (TNC), 1990-2006 (FNC), 1990-2010 (Fifth NC), and 1990-1912 (First BUR).</p>	<p>1.1 Procedures established for enhancement of current inventory system, institutional arrangements improved for an optimum information flow and data generation, electronic database for inventory available;</p> <p>1.2 GHG emissions of key sectors estimated using a more elaborate IPCC methodology (tiers 2 or 3), improved Guidelines for activity data validation and quality control, key source category analysis and uncertainty assessment for all sources available;</p> <p>1.3 Estimated improved emissions of HFCs and established trends available;</p> <p>1.4 GHG inventory available on an annual basis up to 2014 (1990-2014); INEGEI is published. Results are</p>	<p>Status of preparation of the INEGEI, information contained in Sixth NC, BUR and the GHG National Inventory Report.</p>	<p>Risks:</p> <ol style="list-style-type: none"> 1. As there are many institutions involved in the preparation of the GHG inventory, at national and state level, coordination could be difficult and may be cause of delay. 2. Some activity data could be difficult to obtain. <p>Assumptions:</p> <ol style="list-style-type: none"> 1. Inventory work will benefit from experience gained in the preparation of Mexico's INC, SNC, TNC, FNC, Fifth NC and the first BUR; 2. Project will draw on a pool of experts; 3. The Government maintains its support to implement the UNFCCC.



			available in web query systems. The National GHG Report is submitted to the UNFCCC.		
Outcome 2 Knowledge of LEDS in Mexico has been developed, and implemented or envisaged GHG mitigation policies and actions have been updated.	<p>2.1 LEDS for energy, industry, forestry, agriculture and waste sectors developed.</p> <p>2.2 Tools for the implementation of policies related to LEDS, and co-benefits of GHG mitigation measures analyzed.</p> <p>2.3 Technology roadmaps for energy, industry, forestry, agriculture and waste sectors outlined.</p> <p>2.4 Policies and actions to mitigate GHGs implemented or envisaged up to 2016, at national, state and local level, assessed and updated.</p>	<p>2.1 Only elements for national future strategy.</p> <p>2.2 Fifth NC and First BUR</p> <p>2.3 Some elements from Fifth NC</p> <p>2.4 Previous NCs and First BUR</p>	<p>2.1 LEDS available for energy, industry, forestry, agriculture and waste sectors;</p> <p>2.2 Tools available; NAMAs have been MRV; and co-benefit of mitigation measures presented</p> <p>2.3 Technology roadmap for key sectors available;</p> <p>2.4 Policies and actions to mitigate GHGs updated to 2016.</p>	Project reports, information contained in Sixth NC and its BUR.	<p>Risks:</p> <ol style="list-style-type: none"> 1. Coordination with the many stakeholders involved in the assessment and analysis of GHG mitigation at national, state and local levels, could be cause of delay. Mitigation actions include stakeholder engagement at early stages of this undertaking 2. Lack of basis data or not systematized information or confidentiality 3. Lack of consensual methodology for data comparability and compatibility for some sectors <p>Assumptions:</p> <ol style="list-style-type: none"> 1. Mitigation analysis will benefit from experience gained in the preparation of Mexico's previous NC and its First BUR; 2. Project will draw on a pool of experts; 3. The Government maintains its support to implement the UNFCCC.
Outcome 3 Regional, local and national impacts, vulnerability and adaptation options have been assessed and reported, and information on impacts,	<p>3.1 Studies prepared in relation to ecosystem, multidimensional and integrated assessment of impacts, vulnerability and adaptation actions, programs and strategies.</p> <p>3.2 Impacts, vulnerability, resilience and implemented</p>	3.1 No previous experience using this approach	3.1 Technical studies, Reports on assessments of impacts, vulnerability and adaptation options using this approach are available, and Regional Scenarios are improved;	Studies, Reports, information contained in Sixth NC.	<p>Risks:</p> <ol style="list-style-type: none"> 1. Coordination with the many stakeholders involved in the evaluation of impacts, vulnerability and adaptation actions and measures could be difficult and may be cause of delay. Mitigation actions include stakeholder engagement at



<p>vulnerability and implemented adaptation actions have been updated.</p>	<p>adaptation actions updated to 2016. 3.3 Report on pilot projects implemented for key adaptation options, identified in the Fifth NC and other projects, and implementation of new pilot projects, including materials for public awareness prepared. 3.4 Portfolio of adaptation actions updated to 2016.</p>	<p>3.2 Previous NCs 3.3 Fifth NC and other projects 3.4 Fifth NC</p>	<p>3.2 Updated impacts, vulnerability, resilience and implemented actions presented; 3.3 Report on pilot projects implemented and materials for public awareness available; 3.4 Updated Portfolio of adaptation actions presented.</p>		<p>early stages of this undertaking 2. Lack of basic data or not systematized information or confidentiality. Assumptions: 1. Sixth NC will benefit from experience gained in the preparation of Mexico's INC, SNC, TNC, FNC and Fifth NC; 2. Project will draw on a pool of experts; 3. The Government maintains its support to implement the UNFCCC.</p>
<p>Outcome 4 Relevant information has been compiled and updated.</p>	<p>4.1 Information on National Circumstances up to 2016 reported, including national and regional development priorities and institutional arrangements, as well as gender issues. 4.2 Information on research in clean and low carbon technologies carried out, including information on technology access and transfer, and capacity development reported. 4.3 Information on research and systematic observation, education, capacity building and awareness activities updated and reported. 4.4 Information on financial</p>	<p>4.1 Previous NCs and First BUR, Preliminary study on gender issues 4.2 Some information in Fifth NC 4.3 Previous NCs</p>	<p>4.1 Updated National Circumstances; regional development priorities and institutional arrangements presented, and information on gender issues updated. 4.2 Information on research and investment in clean and low carbon technologies, on methodologies developed for low emission growth paths and on measures related to access and transfer of technologies</p>	<p>Project reports, information contained in Fifth NC. Study on gender issues.</p>	<p>Risks: No specific risks have been identified. Assumptions: 1. Sixth NC will benefit from experience gained in the preparation of Mexico's INC, SNC, TNC, FNC and Fifth NC; 2. Project will draw on a pool of experts; 3. The Government maintains its support to implement the UNFCCC.</p>



	resources and technical support needed and provided for activities relating to climate change and for the preparation of the Sixth NC, including its correspondent BUR reported.	4.4 Previous NCs and First BUR	presented; 4.3 Updated information to 2016 presented in Sixth NC; 4.4 Information presented in Sixth NC.		
Outcome 5 Sixth NC and its BUR have been approved by the Inter-Ministerial Commission on Climate Change (CICC).	5.1. Sixth NC published and submitted. 5.2 Summary of main findings for general public produced. 5.3 Communications and awareness campaign developed and implemented.	5.1 Previous NCs 5.2 Previous NCs 5.3 Previous NCs	5.1 Published Sixth NC and submitted to UNFCCC by December 31, 2016; also available in relevant websites. 5.2 Document on main findings finalized by December 31, 2016; 5.3 Materials of implemented communications and awareness campaign available by December 31, 2016.	Project reports, Fifth National Communication, Final Evaluation Report.	Risks: No specific risks have been identified. Assumptions: 1. The Government maintains its support to implement the UNFCCC.



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ANEXO B: LISTA DE DOCUMENTOS QUE REVISARÁ EL/LA EVALUADOR/A

1. Documento del Proyecto del PNUD (PRODOC)
2. Todos los Informes de Ejecución de Proyecto (PIRs)
3. Informes de progreso trimestrales y anuales y planes de trabajo de los varios equipos de ejecución de tareas
4. Informes de auditoría
5. Minutas de las reuniones de la Junta del Proyecto 85488 Sexta Comunicación ante la CMNUCC
6. Documentos de planeación institucional (Estrategia Nacional de Cambio Climático, Programa Especial de Cambio Climático)
7. Informes parciales / finales de consultorías concluidas y en proceso
8. Herramientas de Seguimiento finalizadas del área de actuación del GEF a la aprobación del CEO y a mitad de periodo (*Objetivo 6 del TT de Climate Change Mitigation*)
9. Informe final de la Evaluación de Medio Término
10. Principales productos y materiales de divulgación del proyecto.

También estarán disponibles los siguientes documentos:

11. Guía para el desarrollo de la Evaluación Final
12. Documento de programa del PNUD para México
13. Comunicaciones Nacionales de México



ANEXO C: PREGUNTAS DE EVALUACIÓN

Esta es una lista genérica a ser completada más adelante con preguntas más específicas por la OP y el Asesor Técnico regional del FMAM/PNUD según las circunstancias específicas del proyecto.

Criterios de evaluación - Preguntas	Indicadores	Fuentes	Metodología
Relevancia: ¿Cómo se relaciona el proyecto con los objetivos principales del área de interés del FMAM y con las prioridades ambientales y de desarrollo a nivel local, regional y nacional?			
•	•	•	•
Efectividad: ¿En qué medida se han logrado los resultados y objetivos previstos del proyecto?			
•	•	•	•
Eficiencia: ¿El proyecto se implementó de manera eficiente en conformidad con las normas y los estándares internacionales y nacionales?			
•	•	•	•
Sostenibilidad: ¿En qué medida hay riesgos financieros, institucionales, socioeconómicos o ambientales para sostener los resultados del proyecto a largo plazo?			
•	•	•	•
Impacto: ¿Hay indicios de que el proyecto haya contribuido a reducir la tensión ambiental o a mejorar el estado ecológico, o que haya permitido avanzar hacia esos resultados?			
•	•	•	•
•	•	•	•



ANEXO D: ESCALAS DE CALIFICACIONES

<p>Calificaciones de resultados, efectividad, eficiencia, SyE y ejecución de AyE</p> <p>6: Muy satisfactorio (MS): no presentó deficiencias 5: Satisfactorio (S): deficiencias menores 4: Algo satisfactorio (AS) 3: Algo insatisfactorio (AI): deficiencias importantes 2. Insatisfactorio (I): deficiencias importantes 1. Muy insatisfactorio (MI): deficiencias graves</p>	<p>Calificaciones de sostenibilidad:</p> <p>4. Probable (P): Riesgos insignificantes para la sostenibilidad. 3. Algo probable (AP): riesgos moderados. 2. Algo improbable (AI): Riesgos significativos. 1. Improbable (I): Riesgos graves.</p>	<p>Calificaciones de relevancia</p> <p>2. Relevante (R)</p> <p>1.. No Relevante (NR)</p> <p>Calificaciones de impacto:</p> <p>3. Significativo (S) 2. Mínimo (M) 1. Insignificante (I)</p>
<p>Calificaciones adicionales donde sea pertinente: No corresponde (N/C) No se puede valorar (N/V)</p>		



ANEXO E: FORMULARIO DE ACUERDO Y CÓDIGO DE CONDUCTA DEL CONSULTOR DE LA EVALUACIÓN

El/la evaluador/a:

1. Debe presentar información completa y justa en su evaluación de fortalezas y debilidades, para que las decisiones o medidas tomadas tengan un buen fundamento.
2. Debe divulgar todos los resultados de la evaluación junto con información sobre sus limitaciones, y permitir el acceso a esta información a todos los afectados por la evaluación que posean derechos legales expresos de recibir los resultados.
3. Debe proteger el anonimato y la confidencialidad de los informantes individuales. Debe proporcionar avisos máximos, minimizar las demandas de tiempo, y respetar el derecho de las personas de no participar. También debe respetar el derecho de las personas a suministrar información de forma confidencial y debe garantizar que la información confidencial no pueda rastrearse hasta su fuente. No se prevé que evalúe a individuos y debe equilibrar una evaluación de funciones de gestión con este principio general.
4. En ocasiones, es necesario revelar la evidencia de transgresiones cuando se realizan las evaluaciones. Estos casos deben ser informados discretamente al organismo de investigación correspondiente. El/la evaluador/a debe consultar con otras entidades de supervisión relevantes cuando haya dudas sobre si ciertas cuestiones deberían ser denunciadas y cómo.
5. Debe ser sensible a las creencias, maneras y costumbres, y actuar con integridad y honestidad en las relaciones con todos los interesados. De acuerdo con la Declaración Universal de los Derechos Humanos de la ONU, el/la evaluador/a debe ser sensible a las cuestiones de discriminación e igualdad de género, y abordar tales cuestiones. Debe evitar ofender la dignidad y autoestima de aquellas personas con las que esté en contacto en el transcurso de la evaluación. Gracias a que sabe que la evaluación podría afectar negativamente los intereses de algunos interesados, el/la evaluador/a debe realizar la evaluación y comunicar el propósito y los resultados de manera que respete claramente la dignidad y el valor propio de los interesados.
6. Es responsable de su rendimiento y sus productos, así como de la presentación clara, precisa y justa, de manera oral o escrita, de las limitaciones, los resultados y las recomendaciones del estudio.
7. Debe reflejar procedimientos descriptivos sólidos y ser prudente en el uso de los recursos de la evaluación.



Formulario de acuerdo del/la consultor/ de la evaluación¹⁷

Acuerdo para acatar el Código de conducta para la evaluación en el Sistema de las Naciones Unidas

Nombre del/la consultor/a: _____

Nombre de la organización consultiva (donde corresponda): _____

Confirmando que he recibido y entendido y que acataré el Código de Conducta para la Evaluación de las Naciones Unidas.

Firmado en *lugar* el *fecha*

Firma: _____

¹⁷ www.unevaluation.org/unegcodeofconduct



ANEXO F: ESBOZO DEL INFORME DE EVALUACIÓN¹⁸

- i. Primera página:
 - Título del proyecto respaldado por el PNUD y financiado por el FMAM
 - Números de identificación del proyecto del PNUD y FMAM
 - Plazo de evaluación y fecha del informe de evaluación
 - Región y países incluidos en el proyecto
 - Programa Operativo/Programa Estratégico del FMAM
 - Socio para la ejecución y otros asociados del proyecto
 - Miembros del equipo de evaluación
 - Reconocimientos
- ii. Resumen ejecutivo
 - Cuadro sinóptico del proyecto
 - Descripción del proyecto (breve)
 - Tabla de calificación de la evaluación
 - Resumen de conclusiones, recomendaciones y lecciones
- iii. Abreviaturas y siglas
(Consulte: Manual editorial del PNUD¹⁹)
1. Introducción
 - Propósito de la evaluación
 - Alcance y metodología
 - Estructura del informe de evaluación
2. Descripción del proyecto y contexto de desarrollo
 - Comienzo y duración del proyecto
 - Problemas que el proyecto buscó abordar
 - Objetivos inmediatos y de desarrollo del proyecto
 - Indicadores de referencia establecidos
 - Principales interesados
 - Resultados previstos
3. Hallazgos
(Además de una evaluación descriptiva, se deben considerar todos los criterios marcados con (*)²⁰)
- 3.1 Diseño y formulación del proyecto
 - Análisis del marco lógico (AML) y del Marco de resultados (lógica y estrategia del proyecto;

¹⁸ The length of the report should not exceed 40 pages in total (without including annexes)

¹⁹ UNDP Style Manual, Office of Communications, Office of Alliances, updated in November 2008.

²⁰ On a grading scale of six points: 6: Very satisfactory, 5: Satisfactory, 4: Somewhat satisfactory, 3: Somewhat unsatisfactory, 2: Unsatisfactory and 1: Very unsatisfactory. Go to section 3.5, page 37 to know the details about the grades.



indicadores)

- Suposiciones y riesgos
- Lecciones de otros proyectos relevantes (p.ej., misma área de interés) incorporados en el diseño del proyecto
- Participación planificada de los interesados
- Enfoque de repetición
- Ventaja comparativa del PNUD
- Vínculos entre el proyecto y otras intervenciones dentro del sector
- Disposiciones de Administración

3.2 Ejecución del proyecto

- Gestión de adaptación (cambios en el diseño del proyecto y resultados del proyecto durante la ejecución)
- Acuerdos de asociaciones (con los interesados relevantes involucrados en el país o la región)
- Retroalimentación de actividades de SyE utilizadas para gestión de adaptación
- Financiación del proyecto:
- Seguimiento y Evaluación: diseño de entrada y ejecución (*)
- Coordinación de la aplicación y ejecución (*) del PNUD y del socio para la ejecución y cuestiones operativas

3.3 Resultados del proyecto

- Resultados generales (logro de los objetivos) (*)
- Relevancia (*)
- Efectividad y eficiencia (*)
- Implicación nacional
- Integración
- Sostenibilidad (*)
- Impacto

4. Conclusiones, recomendaciones y lecciones

- Medidas correctivas para el diseño, la ejecución, seguimiento y evaluación del proyecto
- Acciones para seguir o reforzar los beneficios iniciales del proyecto
- Propuestas para direcciones futuras que acentúen los objetivos principales
- Las mejores y peores prácticas para abordar cuestiones relacionadas con la relevancia, el rendimiento y el éxito

5. Anexos

- TdR
- Itinerario
- Lista de personas entrevistadas
- Resumen de visitas de campo
- Lista de documentos revisados
- Matriz de preguntas de evaluación
- Cuestionario utilizado y resumen de los resultados
- Formulario de acuerdo del consultor de la evaluación



ANEXO G: FORMULARIO DE AUTORIZACIÓN DEL INFORME DE EVALUACIÓN

(Para ser completado por la OP y el Asesor Técnico regional del FMAM/PNUD e incluido en el documento final).

Informe de evaluación revisado y autorizado por

Oficina en el país del PNUD

Nombre: _____

Firma: _____ Fecha: _____

ATR del FMAM/PNUD

Nombre: _____

Firma: _____ Fecha: _____



Annex 2. Definition of evaluation criteria

Criteria	Definition	Source of information
Relevance	Measure in which the objectives of a development activity are coherent with the requirements of the beneficiaries, the needs of the country, world priorities and policies of the partners and donors.	Interviews Documental
Effectiveness	Measure in which an objective is reached or the probability of it being reached.	Documental Interviews
Efficiency	Measure in which the results were delivered with the least costly resources possible; also, named profitability as a function of costs or efficacy.	Documental Interviews
Impact	Findings ²¹ related to the Project results and sustainability, utilize them to consider if the project has put into practice the conditions (constituent components or processes) that eventually could lead to impact (lasting enhancements in the socio-economic and environmental states).	Documental Interviews
Sustainability	Evaluates the measure in which the benefits could continue, within or outside of the project scope, from a particular project or program after assistance from GEF or external assistance has concluded. Projects should be sustainable both environmentally, as well as financially and socially.	Documental Interviews

Source: (PNUD, 2012)

²¹ The findings are a statement of facts as a function of an analysis of the data (PNUD, 2012).



Annex 3. List of documents reviewed

1. UNDP project document (PRODOC).
2. Project Execution Reports (PIRs).
3. Quarterly and annual reports and work plans from different task teams.
4. Audit reports.
5. Minutes of the meetings of the Project Board 85488 Sixth Communication to UNFCCC.
6. Institutional planning documents (National Climate Change Strategy, Special Climate Change Program).
7. Partial reports / final consultancies finished and in process
8. Follow-up tools finalized from the activity area of GEF to the approval of the CEO and at mid-term (Objective 6 of the TT of Climate Change Mitigation).
9. Final Mid-Term Evaluation Report.
10. Principal products and outreach materials of the project.
11. Guidelines for developing the Final Evaluation.
12. UNDP program document for Mexico.
13. Sixth NC and BUR (final draft).
14. Framework documents of the UNFCCC for preparing the NC, BUR and emissions database.



Annex 4. List of people interviewed

Name		Institution	Position	Date of interview (2018)
Federal public sector				
1	Amparo Martínez Arroyo	INECC ¹	Directora General	26/09
2	Margarita Caso Chávez	INECC ¹	Coordinación General de Adaptación al Cambio Climático	26/09
3	Miguel Breceda Lepeyre	INECC ¹	Coordinación General de Crecimiento Verde	26/09
4	Víctor H. Páramo Figueroa	INECC ¹	Coordinación General de Contaminación y Salud Ambiental	25/09
5	Marco Heredia Fragoso	INECC ¹	Coordinación General de Cambio Climático para la Evaluación de las Políticas de Mitigación y Adaptación	26/09
6	Iris Jiménez Castillo	INECC ¹	Unidad Coordinadora de Asuntos Internacionales	01/10
7	Fabiola Ramírez Hernández	INECC ¹	Dirección de Inventarios y Prospectiva de la Coordinación General de Mitigación del Cambio Climático	01/10
8	Iztel Nieto Ruiz	INECC ¹	Dirección de Modelos Sectoriales de Desarrollo Bajo en Carbono la Coordinación General de Mitigación del Cambio Climático	17/10
9	Rodrigo Fernández Borja	INECC ²	Dirección de Comunicación Social	17/10
10	Juan Carlos Arredondo	SEMARNAT ¹	Dirección General de Políticas para el Cambio Climático	20/09
11	Odón de Buen	Comisión para el Uso Eficiente de la Energía ^{2,3}	Dirección General	17/10
12	Erika Casamadrid Gutiérrez Gisele Fernández	SRE ¹	Dirección General de Temas Globales (Secretaría de Relaciones Exteriores)	27/09
Local public sector				
13	Oscar Vázquez Martínez	Secretaría de Medio Ambiente del Gobierno de la Ciudad de México ³	Dirección de Programa de Cambio Climático y Proyectos de Mecanismos de Desarrollo Limpios	24/09
14	José Luis Garcidueñas Murillo	Secretaría de Medio Ambiente, Cambio Climático y Desarrollo Territorial del Estado de Michoacán ³	Subsecretaría de Gestión Ambiental y Cambio Climático	19/09
Cooperation agencies				
15	Gerardo Arroyo-O'Grady	PNUD ¹	Director del Programa de Desarrollo Sustentable de la Oficina de País en México. Gerente del Programa de Desarrollo Sustentable en México de la Oficina de País en México.	27/09
16	Arianne Hidalgo Remedios	PNUD ¹	Gerente del Programa de Desarrollo Sustentable en México de la Oficina de País en México.	27/09
17	Gerardo Mendiola Patiño	PNUD ¹	Coordinador del Proyecto Sexta CN, Unidad Coordinadora de Proyecto.	25/09
18	Berta Helena de Buen Richkarday	PNUD ¹	Asesor Técnico Senior del Proyecto Sexta CN, Unidad Coordinadora de Proyecto	25/09



	Name	Institution	Position	Date of interview (2018)
19	Juan Carlos Hernández Arriaga	PNUD ¹	Administrador del Proyecto Sexta CN, Unidad Administrativa del Proyecto.	25/09 01/10
20	Camilo de la Garza Guevara	Cooperación Alemana al Desarrollo (GIZ) ³	Clúster de Cambio Climático	22/09
21	César Rivera Colesio	Fundación México Estados Unidos para la Ciencia ³	Coordinador de Tecnologías Limpias	18/09
22	Rafel Ramos	Grupo de Liderazgo Climático C40 Cities	Asesor para la Ciudad de México	18/09
Private sector				
23	Alejandro Sosa Reyes	Iniciativa GEMI ³	Director Ejecutivo	21/09
24	Luisa Manzanares Papayanopoulos	Comisión de Estudios del Sector Privado para el Desarrollo Sustentable ²	Coordinadora de Programa GEI y Consejera Social de la Coordinación de Evaluación del INECC.	31/10
25	Daniel Calvert	Cámara Nacional de la Industria de la Transformación ³	Vicepresidente Nacional de Sustentabilidad y Responsabilidad Social.	30/10
Academic sector				
26	Miguel Carbajal	Universidad de Yucatán ³	Dirección General de Vinculación y Extensión la Escuela de Recursos Naturales	12/10
27	Karla Amador	Universidad de Yucatán ³	Directora Académica de la Escuela de Recursos Naturales.	12/10
Legislative				
28	Rodolfo Godínez	Cámara de Diputados	Asesor de la Diputada Ana Silvia Garza (Ex Presidenta de la Comisión de Cambio Climático del Senado de la República)	16/10
Social sector				
29	Jorge Villarreal Padilla	Iniciativa Climática de México ³	Dirección de Política Climática y Transporte	21/09
30	Ixchel López Olvera	RED de Turismo Sustentable de la Paz Baja California Sur ³	Dirección Ejecutiva	18/09

1. Requested in the TR. 2. Suggested by UNDP. 3. Suggested by the Consultant.



Annex 5. Evaluation criteria, questions and indicators for interviews

EVALUATION CRITERIA	QUESTION	EVALUATION INDICATOR
STRATEGIC ORIENTATION	What is your role in the preparation of the Sixth NC?	
	Who is the client and the user(s) of the Communication?	
RELEVANCE (of the existence of the Sixth NC and its results)	How did the Project Sixth NC strengthened capacities to incorporate climate change strategies and how does it back up Mexican development priorities?	Level in which the Project backs up the climate change objectives of the Mexican climate policy and its development policies
		Results and products generated by the project that sustain the definition of climate change strategies
		Capacities developed by the project in order to define the climate change strategies
		Contributions to compliance with international agreements in relation to climate change
EFFECTIVENESS (of the preparation process for the Sixth NC)		
Effectiveness of the design	What initial information was provided by the UNDP Country Office to the Sixth NC Coordination for the development of their work?	Results and lessons learned resulting from the evaluation of the Third and Fifth Communication for the design of the Sixth NC, distributed and socialized with the team in charge of Sixth NC Project Coordination and with the counterpart and considered for the Project design.
	Did the Project include topics and key actors from the Mexican climate agenda?	Participation of the counterpart in the definition of the Prodoc
		Level of participation of key actors in the project design
		Priority and emergent topics related to climate change incorporated into the Project
		Institutional needs and reality of the counterpart considered
		Sectors and key actors at the national level involved in the process of preparing the Sixth NC
	Does the design of the publication (document) of the Sixth NC support the increase in awareness and decision making?	Satisfaction of key actors with the content and design of the Sixth NC publication
	Did the Project have monitoring and tracking?	Monitoring and tracking indicators were established and reports were generated
	Did the Project attain its general and specific objectives in time and form?	Evidence of the products generated by the Project
Effectiveness of the execution	Did key sectors and stakeholders participate in the integration process of the Sixth NC?	Key sectors and actors participated



EVALUATION CRITERIA	QUESTION	EVALUATION INDICATOR
	Did the activities undertaken by the Sixth NC strengthen institutional capacities to incorporate climate change strategies within the framework of the Mexican development policy?	Activities and public policies reported by key sectors and actors
		Satisfaction level of key actors in the process of being invited to participate and provide information
		New capacities developed in Mexico on key topics
	Was the ... monitored and tracked?	Monitoring and tracking mechanisms for the Sixth NC Project and measuring indicators implemented
	Did the activities, events, information generated within the framework of the Project Sixth NC reach the key actors and beneficiaries?	Studies, tools, platforms and materials on climate change were developed and made available
		Training and outreach events on climate change were developed
		Degree of satisfaction of the counterpart, key actors and beneficiaries with activities undertaken within the framework of the Project
Effectiveness of the management arrangements	Did the task and activities of UNDP (Country Office and team in charge of Coordinating the Integration of the Sixth NC) help in meeting Project objectives?	Functions and activities of the team in charge of Coordinating Integration of the Sixth NC according to institutional needs
	Did the counterpart and the Project Board contribute in an effective way in attaining the Project objectives?	A clear definition of the Project Governing Board operation
		Degree of satisfaction of the counterpart and with the team in charge of Project Coordination for the Sixth NC and the results reached by the Project
	How did UNDP and the counterpart manage the risks of the Sixth NC Project?	Definition of strategies and actions to prevent and address risks within the Project
Effectiveness of the institutional arrangements	Did the Project Sixth NC contribute to institutional strengthening in relation to climate change?	Actions for institutional strengthening were developed and implemented
		Evidence of work with state and municipal governments
		Evidence of work with the social, academic and research sectors at the local level
PROJECT IMPACT	Did the Project Sixth NC establish conditions (elements or processes) that eventually could lead to lasting improvements in the socioeconomic and environmental state of Mexico? Which by order of relevance?	Elements, processes, tools, platforms were established or derived from the Project that support decision making to stop climate change
EFFICIENCY IN USE OF THE RESOURCES	Which was the amount of resources provided by GEF and (in kind) by the counterpart?	Information/estimate of resources provided by other sources of funding that may have supported the Sixth Communication
	How was the Budget breakdown established for the Project Sixth NC?	Distribution of resources by type/kind of activities (studies, consultancies, workshops, training, certifications, outreach forums, etc.)
		List of consultancies, studies, forums undertaken
		Degree of satisfaction of the beneficiaries on the



EVALUATION CRITERIA	QUESTION	EVALUATION INDICATOR
		distribution assignment of resources
	What procedure was implemented to ensure that the consultancy topics were not repeated when required by other coordination offices within INECC?	Evidence of the validation/approval mechanism for consultancies
	Were resources assignments based on the original planning?	Resources by activity planned/resources by activity executed
		Resources tracking mechanisms in kind were provided by the counterpart
	Were mechanisms established to channel resources to the counterpart?	Knowledge by staff of the counterpart of the procedures and formats to be filled out at the start of the project of the Sixth NC.
		Degree of satisfaction of the counterpart staff with the administrative mechanisms
	How is risk managed in assigning resources?	Risk monitoring and evaluation mechanisms established between UNDP and the counterpart
	How did the resources provided by GEF support Mexico in strengthening institutional capacities to incorporate climate change strategies?	Degree of satisfaction of the UNDP on the operation of the Project Board and the counterpart
PROJECT SUSTAINABILITY	Did the project take advantage of local capacity during its execution?	Evidence of utilization of Mexican capacities
	Were elements introduced in the design of the project to ensure sustainability for Mexico to continue preparing National Communications?	Evidence of elements or tools to make sustainable the Project at the end of its execution
	Is there evidence that the Project partners will continue their activities beyond the support of the Sixth NC Project?	Evidence of initiatives or processes to continue work with the 32 state governments and different sectors
		Evidence of mechanisms for the counterpart to continue developing tasks to generate and collect information on activities on climate change in Mexico.
	Is there a mechanism to make the Final Evaluation Results known to the counterpart and exchange ideas on the results and lessons learned from the Project?	Evidence of planning a meeting or workshop with the counterpart to make the findings of the final evaluation results known
	Which are the mechanisms to ensure financial sustainability of the Project?	Evidence of planned financial strategies
	What barriers exist to promote Project sustainability, its results and what is recommended to overcome them?	Barriers identified and recommendations suggested/developed
Additional questions on the GHG emissions database for	Which are the main elements for updating/modification applied to the database to be included in the Sixth Communication?	Evidence of the modifications in the database



EVALUATION CRITERIA	QUESTION	EVALUATION INDICATOR
INECC in order to be able to evaluate compliance of the specific Result 1 with the logical framework of the Project 6NC	Were methodologies in addition to those of the IPCC used to calculate GHG in the established sectors?	Evidence of the methodology used
	Were methodologies internally developed or used to calculate GHG emissions for Tier 2 and 3 of the database?	Evidence of use of internally developed methodologies and/or emissions factors
	How was the selection process undertaken for the different actors that participated in developing de GHG databases for different sectors?	Evidence of the sectors involved in updating the databases
	Has a program or plan been established to provide continuity to the development process for capacities in estimating GHG?	Evidence of planning strategies to provide continuity in the development of capacities

Source: developed by evaluator 2018.



Annex 6 Summary of interviews

The actors interviewed mainly indicated that:

- the client of the Sixth NC is the UNFCCC and the users the international community and academic and private sectors, society and non-governmental and cooperation organizations;
- that NC are a photograph of the current situation at a given moment, but that the issues linked to climate change are changing constantly and it is necessary to maintain updated information;
- that the UNFCCC should update the index of the NC;
- the Sixth NC was relevant to the country;
- they recognized the openness of the current administration of the INECC to integrate the NC;
- it was complicated to manage such a wide-ranging document;
- the topic of vulnerability was dealt with sparingly with the private sector.
- support from UNDP and GEF is absolutely necessary for the integration of a NC;
- it is necessary to work more with local governments;
- it is absolutely necessary to include the methodological annexes of the database in the Publication and to make available to all of society the complete series of studies generated;
- Mexican Official Standards should also be included as mitigating actions of GHG emissions.



Annex 7 Grade scale for Project yield and sustainability

Note: the UNDP-GEF Guidelines grade scale was used and not the ToR scale, in order to make the results comparable to the MTE.

Table 1. Grade scales		
<i>Grades of results, effectiveness, efficiency, F&E and execution of AyE</i>	<i>Sustainability Grades:</i>	<i>Relevancy Grades</i>
6: Highly satisfactory (HS): the project did not have deficiencies in attaining its objectives in terms of relevance, effectiveness or efficiency 5: Satisfactory (S): only minor deficiencies present 4: Moderately satisfactory (MS): only moderate deficiencies present 3. Moderately unsatisfactory (MU): the project had significant deficiencies 2. Unsatisfactory (U): important deficiencies in attaining project objectives in terms of relevance, effectiveness or efficiency 1. Highly unsatisfactory (HU): the project had serious deficiencies.	4. Likely (L) insignificant risks to sustainability. 3. Moderately Likely: moderate risks. 2. Moderately Unlikely (MU): significant risks. 1. Unlikely (U) major risks.	2. Relevant (R) 1.. Not Relevant (NR) Impact grades: 3. Significant (S) 2. Minimum (M) 1. Insignificant (I)
<i>Additional grades where pertinent:</i> Not applicable (N/A) Not quantifiable (N/Q)		

(PNUD, 2012) (pg.27)

Indicator	Description of the indicator for sustainability
4 Likely (L)	Insignificant risks to sustainability, with key results that should continue in the foreseeable future
3 Moderately Likely (ML)	Moderate risks, but with expectations that, at least, some results will be maintained
2 Moderately Unlikely (MU)	Considerable risk that key results will not continue after closure of the project, although some results and activities should continue
1 Unlikely (U)	Major risk that the key project yield and results will not continue
(N/A)	Not applicable
(N/Q)	Not quantifiable

Source: (PNUD, 2012)



Annex 8. Agreement form by the Consultant

El/la evaluador/a:

1. Debe presentar información completa y justa en su evaluación de fortalezas y debilidades, para que las decisiones o medidas tomadas tengan un buen fundamento.
2. Debe divulgar todos los resultados de la evaluación junto con información sobre sus limitaciones, y permitir el acceso a esta información a todos los afectados por la evaluación que posean derechos legales expresos de recibir los resultados.
3. Debe proteger el anonimato y la confidencialidad de los informantes individuales. Debe proporcionar avisos máximos, minimizar las demandas de tiempo, y respetar el derecho de las personas de no participar. También debe respetar el derecho de las personas a suministrar información de forma confidencial y debe garantizar que la información confidencial no pueda rastrearse hasta su fuente. No se prevé que evalúe a individuos y debe equilibrar una evaluación de funciones de gestión con este principio general.
4. En ocasiones, es necesario revelar la evidencia de transgresiones cuando se realizan las evaluaciones. Estos casos deben ser informados discretamente al organismo de investigación correspondiente. El/la evaluador/a debe consultar con otras entidades de supervisión relevantes cuando haya dudas sobre si ciertas cuestiones deberían ser denunciadas y cómo.
5. Debe ser sensible a las creencias, maneras y costumbres, y actuar con integridad y honestidad en las relaciones con todos los interesados. De acuerdo con la Declaración Universal de los Derechos Humanos de la ONU, el/la evaluador/a debe ser sensible a las cuestiones de discriminación e igualdad de género, y abordar tales cuestiones. Debe evitar ofender la dignidad y autoestima de aquellas personas con las que esté en contacto en el transcurso de la evaluación. Gracias a que sabe que la evaluación podría afectar negativamente los intereses de algunos interesados, el/la evaluador/a debe realizar la evaluación y comunicar el propósito y los resultados de manera que respete claramente la dignidad y el valor propio de los interesados.
6. Es responsable de su rendimiento y sus productos, así como de la presentación clara, precisa y justa, de manera oral o escrita, de las limitaciones, los resultados y las recomendaciones del estudio.
7. Debe reflejar procedimientos descriptivos sólidos y ser prudente en el uso de los recursos de la evaluación.

Laura del Pilar Magdaleno Chapa



Comunicación
Nacional

Formulario de acuerdo del/la consultor/ de la evaluación²²

Acuerdo para acatar el Código de conducta para la evaluación en el Sistema de las Naciones Unidas

Nombre del/la consultor/a: Laura del Pilar Magdaleno Chapa

Nombre de la organización consultiva (donde corresponda): _____

Confirmando que he recibido y entendido y que acataré el Código de Conducta para la Evaluación de las Naciones Unidas.

Firmado en *Ciudad de México* el 25 de agosto de 2018

Firma: _____

²² www.unevaluation.org/unegcodeofconduct



Annex 9. Audit Trail

UNDP Project PIMS#4933, GEF ID#5140 Mexico's 6th National Communication to the United Nations Framework Convention on Climate Change AUDIT TRAIL OF OBSERVATIONS AND RESPONSES TO FINAL EVALUATION (FE)

Comments	Source	Answers from the Consultant
p. 7, in the matter of Co-financing the table includes the total project amount. It should only include the INECC contribution, which consisted of \$4 million USD.	Berta Helena de Buen	p. 7 & 49, (Project Financing) it was pointed out that co-financing of the INECC was of \$4 million USD.
p. 8, third line, the Canada Platform Project is mentioned. The full name should be included, which is "Project 00086487 Platform for Cooperation between Canada and Mexico on Climate Change and Green Growth".	Berta Helena de Buen	p. 8, the complete name of the Project was included pointing out (from now on Canada Platform Project) in order to abbreviate the Project name throughout the document when it is mentioned again.
p. 11, summary of conclusions. The item that says, "The Sixth and INECC were built mutually", requires explanation.	Berta Helena de Buen	p. 11, 17, (issues faced by the Project) and p. 55, (conclusions) it was explained pointing out that the INECC, instituted in 2012 based on article 13 of the LGCC, was also in process of consolidation through its new functions and organic structure.
p. 11, summary of lessons learned. Item 3 mentions that lack of a validation process of the information generated from the data provided by the sectors ... can affect the execution of activities ... requires additional explanation. Modify wording. It is important to mention that during the process the INECC was in constant communication with the main actors and workshops, work meetings, etc. were held.	Berta Helena de Buen	p. 11, a bullet was included pointing out the results generated by the good practice of establishing a transparent and continuous process of communication with the sectors. p. 12, wording was modified in item 3 (initial) by including the effect that the private sector considers that the lack of work meetings may have had in validating the final numbers that support the costs of the Nationally Determined Contributions). The latter to clarify that it was the perception of said sector and that they considered it necessary that the information be validated in work meetings before making them public in forums. The same modifications were made on p. 56 (Lessons Learned).
p. 15, sustainability strategy. Include after the ... climate change "in the national development priorities".	Berta Helena de Buen	p. 16, in the sustainability strategy "in the national development priorities" was included.
p., it mentions that the private sector pointed out that the information presented in the Sixth Communication does not support decision making.	Berta Helena de Buen	p. 20 & 58 a recommendation was included so that the design of the 7 NC considers the identification with the involved sectors of which would be the information handling required in a NC so that it better supports the decision-making process.
p. 20, on the Project Board. Need to include the International Affairs Office of the INECC and	Berta Helena de	p. 21, the texts "Dirección de Asuntos Internacionales" and "authorize disbursement of



Comments	Source	Answers from the Consultant
where it says that the objectives were, among others, authorize all contracts, substitute for “authorize execution of the budget”. In practice, the Secretaría de Relaciones Exteriores (Ministry of Foreign Affairs) was not invited to the Project Board meetings.	Buen	the budget” were included (instead of “authorize all contracts”).
P. 20, on participation of the INECC, this was not only during the integration. The Institute is responsible, by law, of producing the Communications and the Biennial Update Reports. Change text.	Berta Helena de Buen	p. 22, the text was changed to clarify the official function of the INECC and point out its involvement in the whole process of producing the 6NC.
p. 21, on the Project Coordination Unit, it says that it reports to the UNDP, it should also include to the Direction General of the INECC.	Berta Helena de Buen	p. 22, text was added to indicate that it also reports to the INECC Direction General.
P. 21, on the Administrative Unit, it is part of the Coordination Unit. Only when it was decided to have synergy between projects was the UNDP Project Administrative Unit created at INECC.	Berta Helena de Buen	p. 22, it was cleared up that the PAU is part of the PCU and that it was later integrated as PAU of the UNDP Projects at INECC.
p. 22, the change in the Project Technical Coordination is pointed out (it should say General Coordination). It is considered important to mention that fact, but without making it personal and pointing out that the process of producing the Communication was undertaken, from the beginning, through close collaboration between the project and the INECC, responsible for its content.	Berta Helena de Buen	p. 24, technical was changed for general and the reasons for change in coordination were handled in a more general manner. It is considered fundamental to provide, even in a general form, the reasons for the change in Project Coordination given that the function of General Coordination is fundamental to the Project and making the change must have had a basis in favor of the Project. It was pointed out that all the actors interviewed mentioned that the process of preparing the Communication was undertaken, from the beginning, through close collaboration between the Project and INECC, and the staff interviewed pointed out that the change in Coordination did not have a relevant impact on the outcome of the Project objectives.
p. 23, strategic risks. It says: “Scenarios of climate change generated do not have a proper scale for the evaluation of national, regional or local impacts, vulnerability and adaptation to climate change or have a high level of uncertainty.” This paragraph has a problem, the idea is not clear.	Berta Helena de Buen	p. 25, the text was corrected to the following: “The climate change scenarios generated do not have a proper scale for evaluating national, regional or local impacts and the estimation of vulnerability and adaptation to climate has a high level of uncertainty.”
p. 27, it is pointed out that 18 Service Contracts were signed on topics such as seas, environmental education, emissions from electricity sector ... It should say 26 and it is necessary to review the topics because of those included not all are appropriate.	Berta Helena de Buen	p. 29, the topics of the SC were adjusted based on the titles of the contracts.



Comments	Source	Answers from the Consultant
p. 28, it is mentioned that the salaries assigned by UNDP to the SC are equivalent to the highest used at INECC. This is not always the case, they depend on the job profile, so it is suggested to mention that the amounts were equivalent to those at INECC.	Berta Helena de Buen	p. 29, the text was adjusted as follows: "It is important to point out that the amounts of the Service Contracts were made equivalent with those applied by INECC for contracts and per diem in order to not cause disruptions in the structure."
p. 32, it is mentioned that the Chancellery and AMEXCID were always invited to the Project Board meetings, which is not correct. Eliminate.	Berta Helena de Buen	p. 33, in the First Minutes of the Project Board of February 16, 2016, it is mentioned textually as an agreement of the meeting: <i>"It is agreed to always invite the Chancellery and AMEXCID to the meetings"</i> Evidence was not found of a modification of said agreement in any other meeting. The original text was left in place.
p. 33, it is mentioned that the project attained four of its five planned goals. Given that to date the Sixth Communication and Second Biennial Report have been concluded and presented, it is necessary to modify the text each time it is mentioned in this evaluation.	Berta Helena de Buen	p. 33, given that during the comment review period of the FE report, the 6NC was presented in the framework of the 24 th edition of the Conference of the Parties of the Climate Change Convention (COP24), that took place in Katowice, Poland and was published, throughout the document the information that mentions that four of five Project objectives had been reached, was updated to say that all five planned objectives had been attained.
p. 34, it is mentioned that the Sixth NC includes the emissions database for the period 1990 – 2015 GHG. It should be pointed out that originally it was foreseen to update it to 2014, thus more was attained than originally considered.	Berta Helena de Buen	p. 35 and throughout the document (results matrices). The update of an additional year (2015) to that planned was stressed.
p. 35, it is mentioned that six courses on databases were undertaken. It should be pointed out that 18 people were trained by taking the 6 courses given by the GHG Institute on the 2006 methodology of the IPCC: introductory, energy, forestry, agriculture, waste and industry. In total, 38 courses were given.	Berta Helena de Buen	p. 37, quantities and text were adjusted based on suggestion.
p. 51, it is mentioned that 98% of the contracts (SC or IC) undertaken by the Project were national and only one was foreign. This is not correct, please revise.	Berta Helena de Buen	p. 54, the amount was adjusted based on the new information obtained on foreign consultancies, therefore the paragraph was changed to the following: It is pointed out that in order to strengthen capacities and take advantage of local resources, 83.1% of contracts (SC or IC) undertaken by the Project were national and only 10 were foreign.
p. 51, in reference to sustainability, it is mentioned that evidence was not identified of a global sustainability strategy for the project.	Berta Helena de Buen	p. 54, the paragraph on sustainability strategies of the Project was adjusted to provide more clarity and the strategy relative to the microsite was



Comments	Source	Answers from the Consultant
For this there is currently in process a contract for developing a microsite about the Sixth Communication and the generation of a mechanism to ensure its sustainability. It is suggested that this be included in the text.		included.
p. 52, in the paragraph on management, it is suggested to mention that the importance of strengthening the CICC and the existing mechanisms of coordination between federal government agencies to ensure continuity in the climate change policy and its inclusion in the development of the country. Also, point out the need to develop mechanisms to maintain a close communication and collaboration with the sectors involved in compliance of the NDC.	Berta Helena de Buen	p. 54 & 58 (recommendations), the suggested concept was included.
p. 52, in financial sustainability, could some options be included, such as participation of other agencies or local governments? Expand.	Berta Helena de Buen	p. 55 & 60 (recommendations), proposals of options for search of financing were included.
p. 53 & 54, in conclusions and recommendations make adjustments according to the modifications made throughout the document.	Berta Helena de Buen	p. 57 – 61, adjustments were made to conclusions, recommendations and lessons learned based on the modifications included throughout the document (shown in control of modifications)
check out the whole document because it has some grammatical and spelling mistakes (the document with these observations is included)	Berta Helena de Buen	the grammatical and spelling mistakes were corrected.
p. 23, it is necessary to clarify the gap between the project design and restructuring the INECC.	Gerardo Arroyo	p. 21, the explanation on the gap between the project design and restructuring the INECC was broadened, as well as on p. 11.
p. 24, need to complete the inserts in operational risks assigning them letters, and in insert f) change Sect for Sixth.	Gerardo Arroyo	p. 26, inserts were included and the word Sect was changed to Sixth.
p. 25, have the attendees to the “Climate Weeks” been included in the count?	Gerardo Arroyo	p. 27, it is understood that the National Encounters on Climate Change are called “Climate Weeks.” The number was changed to include the attendees to the first event.
p. 26, “Opportunity areas” are not in the section on UNDP Comparative Advantage. It’s ok to include them.	Gerardo Arroyo	p. 28, it was included as an opportunity area in “That some time periods for hiring consultancies were too long and in some cases the paperwork was too tedious,” which is the only opportunity area toward the UNDP pointed out by the interviewees and that it had been included in the section “Administrative Provisions” (p. 31).
p. 29, table of Suggested Changes ... section adjustment of Prodoc, column cause, says administration 2007-2017” and should say “administration 2006-2012.”	Gerardo Arroyo	p. 32, the period of the administration was corrected to “2006-2012.”
p. 7 The project was given an extension, then the original end date and the extended date against the start date would remain in the	Ernesto Kraus	p. 7 It was done the adjustment indicated the dates and periods related to the extension and definitive closing date. Based on this, lessons



Comments	Source	Answers from the Consultant
table. Please make visible the amount of time considered an extended period.		learned and recommendations were complemented.
p. 17 It was actually extended after its completion and is still open. The revised closing date is June 30, 2019.	Ernesto Kraus	p. 17 The indicated adjustment was made and extended after its completion. Based on this, lessons learned, and recommendations were complemented.
p. 19 Restate to indicate that the rating that the consultant also considers it relevant	Ernesto Kraus	p. 19 The Consultant's rating was incorporated on this page and throughout the document.
p. 32 It would be worth mentioning that the mid-term review of the project was carried out practically on the date scheduled for its closure, in addition to the request for extension of the project was made 6 months after the closing date of it. In my opinion, for these reasons the satisfactory rating would not be correct in this case.	Ernesto Kraus	p. 32 It was mentioned that the EMT was carried out in the closing phase of the Project. Based on this, lessons learned, and recommendations were complemented.
p. 35 It would be good to include the rating at the beginning of each justification of the different criteria, for example where the asterisk goes.	Ernesto Kraus	p. 35 It was included at the beginning of the sections where the parameters were evaluated. It was not included in the asterisk because several parameters in the same section were rated with the same scale and it was considered very repetitive to see it in each asterisk. However, the reference to the corresponding scale with which each parameter was rated was indicated.
p. 51 Please see previous comment related to the consultant's rating.	Ernesto Kraus	p. 51 The Consultant's rating was established.
p. 80 Include the name of the consultant and sign in the final version (which must be in English) (Agreement to abide by the Code of Conduct for Evaluation in the United Nations System).	Ernesto Kraus	p. 80 Awaiting the response of the OP on the attention of comments made by the Consultant and indications on the procedure for signing the documents (physical and digital).
p. 84 The country office and the RTA must sign once the changes are accepted (authorization form of the evaluation report).	Ernesto Kraus	Comment for UNDP.
p. 96 See comments in Annex G of the TOR (authorization form for the evaluation report).	Ernesto Kraus	p. 80 Awaiting the response of the OP on the attention of comments made by the Consultant and indications on the procedure for signing the documents (physical and digital).

Additional modifications undertaken by suggestion of the consultant:

	Source	Comments
	Laura Magdaleno	The syntax of the acronyms was modified in some evaluation criteria so that the MTE and FE would be comparable (since said acronyms are handled in a different manner in the ToR and the Guideline to Prepare Final Evaluations).



Al servicio
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	Source	Comments
		The page number changed due to the adjustments in the acronyms, hence the page number of the comment by UNDP/INECC does not coincide, but the page number in the final version is pointed out in the answer column, where the corresponding comment was addressed.
		p. 36, The number of consultancies contracted was updated from 55 to 59 based on the new information reported on the four new consultancies required to ensure data quality from some sectors of the emissions database.



Annex 10: Management response

UNDP Management Response Template

[Final Evaluation of the Project Sixth National Communication of Mexico to the United Nations Framework Convention on Climate Change and its Biennial Update Report (BUR)]

PIMS Number: 5140

Finishing date: March 14, 2019

Overall comments:

The attached format includes both key issues and recommendations. The first will be considered, but in strict sense they do not require follow-up actions. Most recommendations are aimed at improving the process of preparation of future National Communications. They are presented according to the three phases of the project: design, execution and sustainability, and therefore there are some recommendations that are repeated in two or more phases.

	Management measures	Tracking*				
Lesson learned/Recommendation	Response	Key action(s)	Time frame	Responsible Unit(s)	Status	Comments
Lessons learned						
Adequate risk management and prompt decision making made the change of the National Project Coordinator in the middle of the project a positive move for it and did not significantly affect its programming.	N/A This is a learned lesson, not a recommendation.	N/A	N/A	General Directorate of INECC	Completed April 2017	In this situation, the presence of a technical and administrative team was strategic because it took charge of the project during the three months in which the Coordination Plaza was vacant.



High flexibility in adjusting times for the delivery of products (chapters) led to significant delays in the publication of the Sixth NC.	N/A This is a learned lesson, not a recommendation.	N/A	N/A	General Directorate of INECC	Completed	For future processes of elaboration of National Communications, activities of the areas involved should be part of their working programs. It will also be necessary to agree from the beginning of the process on a critical route and ensure compliance in the determined times.
The establishment of the participative and transparent process implemented by INECC to prepare the Sixth NC through a close and continuous communication (by means of workshops, work meetings, forums, training, etc.) with the priority sectors, contributed to establish and maintain the climate change agenda in and with the different sectors, established communication bridges between these and the institution, facilitated data contribution from the sectors, as well as INECC support for strengthening methodologies (for estimating and reducing emissions, etc.) in different public and private institutions.	Maintain ongoing communication with actors involved in mitigation and adaptation actions	Reproduce this communication model in the Seventh NC	2020	General Directorate and General Coordinations of INECC	Completed	Communications must report actions carried out throughout the country, therefore a close relationship with stakeholders is important
The industrial sector pointed out the fact that the INECC had not undertaken, through work meetings, a final validation of the information generated from the data provided said sector, which affected process transparency in the integration of the Sixth NC and the acceptance of said data as valid for some institutions of the private sector (primarily the costs of the Nationally Determined Contributions – NDC-.	Maintain close communication with actors that provide information to update the Inventory and for the implementation of mitigation routes	Develop a communication platform with the main stakeholders for the preparation process of the Seventh NC	2020	General Directorate of INECC	Completed	This is part of the activities carried out by INECC



	Management measures	Tracking*				
Lesson learned/Recommendation	Response	Key action(s)	Time frame	Responsible Unit(s)	Status	Comments
Recommendations						
Design						
Share the results of project evaluations in a timely manner with the counterpart.	Results of evaluations are shared with areas of INECC that will be engaged in activities required for the development of future National Communications	Include previous evaluations of Communications and Update Reports (IBA) in the document folder that will be delivered to INECC as part of the Project closing documents. This should also be delivered to those engaged in the development of the Seventh Communication.	2019	Project Coordination Unit, General Directorate and International Affairs Directorate of INECC, UNDP	Completed	This is very necessary and INECC and UNDP commit to consider this when the preparation process of the Seventh National Communication starts. Final documents of the project evaluations will be part of the file that the Coordination of the Project will leave in INECC as part of the project closure.



Integrate from the beginning of the design of the National Communications, the vision of what the actors external to INECC consider Mexico requires of and in an NC.	National Communications respond to national policy and international commitments assumed in climate change matters. Therefore the process of preparation includes a wide range of consultations and validation with actors from different sectors (environmental, industrial, private, etc.)	Develop a strategy to involve the Ministries that participate in the Intergovernmental Commission for Climate Change (CICC) in the definition of the Project aimed to prepare the Seventh National Communication	2020	General Directorate and General Coordinations of INECC	Pending	Ministries that participate in the CICC will be sought in order to involve them in the design of the Seventh National Communication. This activity needs the support of Semarnat, which is in charge of the Technical Secretariat of the CICC
Establish from the beginning of the project a commented outline of the questions that must be answered in the document that will become the National Communication.	The content of National Communications is determined by priority issues of the country, UNFCCC guidelines, national and international contexts, among others.	Present a proposal of key questions and indicative elements that may contribute to the process of development of the Seventh Communication	2019	Project Coordination Unit, with validation of General Directorate of INECC	Completed	Agree, but the proposal should be flexible because the process of preparation of a Communication is long and usually there are changes in institutional structures, in personnel, and in other areas, such as the UNFCCC, which require adjustments and updates. Results of the Workshop on lessons learned and good practices that took place in May 2019 were shared with the staff of INECC.
Develop from the beginning of the project the instructional design of the publication to become the Sixth NC in order to prepare it with pedagogical tools and design the final product oriented towards different users.	This recommendation refers to the process of development of the Seventh Communication.	Assess the Sixth Communication content and format and generate proposals for the development of future Communications	May 2019	General Directorate of INECC, Project Coordination Unit	Completed	This matter was reviewed in the workshop of lessons learned and good practices that took place on 27-28 May 2019. The final document of this workshop was shared with the staff of INECC.



Contents of the NC must be more succinct and focused on decision making by the different actors and sectors.	This will be considered in the process of development of the Seventh National Communication	Assess the Sixth Communication content and format	2020	General Directorate and General Coordinations of INECC	Completed	For future Communications, an important work in synthesizing is required in order to accurately attend UNFCCC requests. This was also a recommendation of the workshop on lessons learned and good practices held on May 2019.
For the development of the Seventh National Communication, establish work groups that identify the ideal form to maintain and reflect the information in the document, so that this assists more decision making (considering the guidelines of the UNFCCC with respect to objective and focus of the NCs).	This will be considered in the process of development of the Seventh National Communication	Assess and determine this process in the inception workshop at the beginning of the development of the Seventh NC	2020	General Directorate and General Coordinations of INECC	Completed	Ok, this is linked to the previous recommendation
Establish a tracking and monitoring system of the satisfaction degree of external actors, with specific indicators.	It is not feasible to track satisfaction, there are no indicators for this. If close communication is maintained and work is coordinated through workshops and working groups, satisfaction of external actors will be secured	N/A	N/A	N/A	Rejected	This is not feasible to track satisfaction. If close communication is maintained and work is coordinated through workshops and working groups, satisfaction of external actors will be secured.
Include in the design of the MTE and FE that the interviews include external actors in its preparation process.	There was no restriction regarding interviews with external actors in the Terms of Reference of the MTE and the FE	N/A	N/A	N/A	Rejected	



Design a general route for the implementation of the project and also a route for each of INECC's General Coordinations.	This will be considered in the process of development of the Seventh National Communication	Develop institutional work programs that include activities necessary to update and generate strategic information for the Seventh Communication	2020	General Directorate and General Coordinations of INECC	Completed	In order to ensure compliance with times and results determined in the critical path, it will be necessary to include the activities required for the integration of the National Communication in the working programs of all involved areas of INECC. This was also a recommendation of the workshop on lessons learned.
Execution:						
Request project budget extensions based on the UNDP-GEF guidelines.	During the development of the Sixth Communication, extensions of the project were requested when it was required. This was done due to the methodological changes requested by the Convention and the closing strategy of the Project, considering the recent change of the federal authorities of the country.	N/A	N/A	UNDP, General Directorate of INECC	Completed	During the development of the Sixth Communication, extensions of the project were requested when it was required. This was done due to the methodological changes requested by the Convention and the closing strategy of the Project, considering the recent change of the federal authorities of the country.



MTE must be carried out in the intermediate phase of the project and the results of the evaluation must be shared with the counterpart (MTE and FE).	Given the characteristics of the projects for the development of National Communications, MTE must be done when the process is sufficiently mature to review its implementation. Therefore, flexibility and understanding of the national context is required to determine the ideal moment to carry out this exercise	This will be considered in the process of development of the Seventh National Communication		Project Steering Committee UNDP-INECC	Completed	Given the characteristics of the projects for the development of National Communications, MTE must be done when the process is sufficiently mature to review its implementation. Therefore, flexibility and understanding of the national context is required to determine the ideal moment to carry out this exercise
Establish a systemized reporting process on climate change that aligns the reports and makes more effective, efficient and sustainable the gathering of National information to be used in the NC.	The way to generate sectoral and national climate change reports is a decision of the country's administration, so this recommendation would require a readjustment of the existing reporting structures and instruments and goes beyond the mandate of INECC.	Propose a strategy for the preparation of sectoral reports on climate change to the CICC	2020	General Directorate of INECC	Rejected, this is not a function of INECC	This requires an intense work that must be coordinated by the CICC in order to be able to ask the ministries that are part of it, to make their own reports on climate change. This must be promoted by Semarnat, since it is in charge of the Technical Secretariat of the CICC.
Define a validation process for the information generated from the data provided by the private sector.	Maintain close communication with actors that provide information to update the Inventory and to implement mitigation routes	Develop a communication platform with the sectors involved in the preparation process of the Seventh CN	2020	General Coordination s of INECC	Pending	It will be useful for the MRV mechanism



Work closer with subnational governments and in a systemic manner.	INECC has among its functions to work with local governments in order to identify and document mitigation and adaptation actions and to support them with the development of their GHG inventories and in the generation of information.	Train local governments in the integration of their National GHG Inventories and in the preparation of their State Climate Change Programs	2019	General Coordination s of INECC	Partially completed	This is part of INECC's work
After the presentation of the Sixth NC publication, undertake a consultation and socialization process of the Sixth NC.	The Sixth NC was presented to the National Climate Change System and stakeholders in November 2019, during the Third National Meeting on Climate Change.	Develop a microsite inside the country webpage on climate change, with information regarding the Sixth NC. Working meeting with authorities of the new government administration	May 2019	UNDP-INECC (Project Coordination Unit)	Completed	A microsite was developed and includes information related to the process of drafting the Sixth NC and documents of interest, such as INEGYCEI, among others, videos and brochures.
Design a monitoring system that will allow identifying the perception of the different sectors on the preparation process of the Sixth NC.	It is not feasible to track satisfaction, there are no indicators for this. If close communication is maintained and work is coordinated through workshops and working groups, satisfaction of external actors will be secured.	N/A	N/A	N/A	Rejected	This recommendation repeats another included in the Design part of this document



Establish a feedback mechanism of information, scenarios, mitigation projections and costs generated by INECC based on data provided by different sectors (in particular by the private sector).	This recommendation is very similar to one included in the Execution section. In that part it is mentioned that close communication will be maintained with actors that provide information for the updating of the Inventory and the implementation of mitigation routes	Develop a communication platform with the sectors involved in the preparation process of the Seventh CN	2020	General Coordination s of INECC	Completed	It will be useful for the MRV mechanism. This recommendation was also made at the workshop on lessons learned held in May 2019.
That mid-term and final evaluations be conducted at the ideal time of the projects so that their results support the Project in the most effective manner.	Repeats					
Sustainability						
Analyze consultancies contracted: their results, the way in which the information generated was shared and used by the Coordinations of INECC (to avoid duplication of studies and/or activities), in order to assess the efficiency of the project and the benefits and impacts that consultancies and contracts carried out had for the project.	There is already an analysis made by the Project Coordination Unit on this	Presentation in the workshop of lessons learned and good practices	May 2019	Project Coordination Unit	Completed	A collective reflection workshop was held on 27-28 May to review positive and negative factors that affected the development of the project, including hiring process of consultancies.
Conduct a meeting (INECC, SEMARNAT, UNDP) on lessons learned through the preparation process of the Sixth NC.	Workshop on lessons learned and good practices planned for May 2019	Organize and carry out the workshop on lessons learned and good practices	May 2019	General Directorate of INECC and Project Coordination Unit	Completed	Personnel directly involved in the preparation of the Sixth NC and new authorities of Semarnat and other ministries of the CICC assisted the workshop held on 27-28 May, 2019.
Identify strategic partners for the Project that will promote the climate agenda and development of the NC and National Development Plan (NDP).	This is part of INECC's attributions	Propose content on climate change for the NDP	February 2019	General Directorate of INECC	Completed	INECC sent inputs to Semarnat for their inclusion in the NDP



After the presentation of the Sixth NC publication, conduct a consultation and socialization process of the Sixth NC Publication with the different sectors.	Semarnat also presented it to the international community during COP24, in December 2018.	Development of a microsite on the country web page on climate change, with information regarding the Sixth NC. Working meeting with authorities of the new government administration	May 2019	UNDP-INECC (Project Coordination Unit)	Completed	This recommendation repeats the same that is in the Execution section
Undertake a lessons learned workshop with the CICC and external actors that will allow socializing the results and feeding the design of the Seventh NC.	Members of CICC are going to be invited to the workshop on lessons learned and good practices	Workshop on lessons learned and good practices	May 2019	General Directorate of INECC and Project Coordination Unit	Completed	New authorities of Semarnat and of other Ministries of CICC attended the workshop of lessons learned.
Make a summary of actions in relation to capacities development and institutional strengthening attained with the Sixth NC to present to the new administration of INECC and SEMARNAT.	This will be done during the workshop on lessons learned	Workshop on lessons learned and good practices	May 2019	General Directorate of INECC and Project Coordination Unit	Completed	The document on lessons learned and good practices that resulted from the workshop includes recommendations on capacity building and institutional strengthening.



Include the results of the Sixth NC in the cooperation agenda of UNDP with the new administration.	UNDP systematically supports the fulfillment of the commitments acquired by Mexico before the United Nations Conventions on Climate Change and Biodiversity	Present the request for support for the preparation of the Third Biennial Update Report (IBA3) and the Seventh NC to Semarnat, because this Ministry will make the national portfolio of projects for 2018-2022 to be financed by GEF in its seventh replenishment period (GEF 7)	April 2019	UNDP-INECC	Completed	INECC presented to Semarnat and the Ministry of the Treasury (GEF Focal Point) the request for support of GEF's Seventh replenishment in April 2019 for the preparation of BUR3, BUR4 and Seventh Communication.
Make a document and/or video of the activities executed within the framework of the Sixth NC so that external actors can have clarity on all of the results generated by an NC and do away with the perception that the NC are just publications.	During the Third National Meeting on Climate Change, the presentations of the results of the different topics included in the Sixth Communication were recorded and filmed. These videos will be available in the Microsite that is under development. Also a video of the Sixth NC is going to be available	Video of the Sixth NC	March 2019	General Directorate of INECC and Project Coordination Unit	Completed	This video is available at the microsite of the Sixth Communication.
Establish a map of key actors, opportunities and barriers to be surpassed in preparing the Seventh NC.	There are lists of actors that participated in various workshops and meetings held during the preparation process of the Sixth Communication.	Workshop on lessons learned and good practices	May 2019	General Directorate of INECC and Project Coordination Unit	Completed	The document that resulted from the workshop includes lessons learned, opportunities and barriers, as well as the mapping of relevant actors.



Continue with staff training programs in federal and state agencies in estimating GHG emissions, as well as with developing EF typical for the country.	Repeats recommendation of the Execution part of this document	Training course for local governments on how to make GHG inventories	2019	General Coordination of Mitigation of Climate Change of INECC	Completed	Repeats recommendation of the Execution part of this document
Socialize constantly data and methodologies	This is part of INECC's attributions	Maintain contact with stakeholders	2019	General Coordination s of INECC	Completed	This is part of INECC's activities
Make available to the public the studies that were undertaken during the process of preparation of the Sixth NC.	The development of a microsite of the Sixth NC is underway and documents of interest, such as the consultancies carried out in the framework of this project are going to be available	Edit final reports of the consultancies, for their publication in the microsite of the Sixth NC	May 2019	Project Coordination unit	Completed	Repeats a recommendation of the Execution part of this document
Maintain current contact data and work topics of people and institutions that compose the national system for climate change within the national scope and that was obtained with the Sixth NC.	This is part of the activities that General Coordinations of INECC do as part as their daily work	Maintain data bases updated	2019	General Directorate and General Coordination s of INECC	Completed	Agree, although it is necessary to consider the difficulty of maintaining updated directories, particularly in times of change of government such as the one currently experienced in Mexico.
Design a monitoring and tracking system of the degree of satisfaction of the external actors and the quality of the information provided, to establish a mechanism for co-responsibility of the report.	It is not feasible to track satisfaction, there are no indicators of this. If close communication is maintained and work is coordinated through workshops and working groups, satisfaction of external actors will be secured	N/A	N/A	N/A	Rejected	Repeats recommendations of the Design and Execution part of this document



Once the Sixth NC is published, notify the actors that participated and mention that the efforts will continue to maintain active the process of reporting and gathering information on climate change.	This was done during the workshop on lessons learned	Workshop on lessons learned and good practices	May 27-28, 2019	General Directorate of INECC	Completed	Persons directly involved in the preparation of the Sixth NC and new authorities of Semarnat and other ministries of the CICC were invited to the workshop and showed interest in following actions.
Focus the Seventh NC on institutionalization of tools for gathering and validate information.	It will be proposed for the elaboration process of the Seventh Communication	To be defined	To be defined	General Directorate of INECC and UNDP	Pending	It will be proposed for the elaboration process of the Seventh Communication
Establish a reporting system in relation to climate change, which moves forward to develop guidelines for reporting.	The way to generate sectoral and national climate change reports is a decision of the country's administration, and this recommendation would require a readjustment of the existing reporting structures and instruments, which is beyond INECC's mandate.	Propose a strategy for the preparation of sectoral reports on climate change to the CICC	2020	General Directorate of INECC	Pending	This requires a very intense work that has to be coordinated by the CICC in order to request al member Ministries to make their own climate change reports. This must be promoted by Semarnat, in its Technical Secretariat of the CCIC capacity. It would be useful for MRV
Identify new financing mechanisms that support the national climate agenda (new mechanisms that the new government would implement, amount of public resources –local government contributions- and resources from other cooperation agencies that have a climate change agenda, as well as the private sector).	This is an activity of the Directorate of International Affairs of INECC that depends on national priorities and of those of INECC	Mapping of funding sources	2019	General Directorate and Directorate of International Affairs of INECC	Completed	

* The implementation status is tracked in the ERC.

* Unit(s) responsible for the management response will fill the columns under the management response heading.

** Unit(s) responsible for management response will update the implementation status. Assigned to an oversight function – monitors and verifies the implementation status.

*** Implementation Status: Completed, Partially Completed, Pending



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SEMARNAT

SECRETARÍA DE
MEDIO AMBIENTE
Y RECURSOS NATURALES



INECC

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Y CAMBIO CLIMÁTICO



Comunicación
Nacional

Annex 11: Authorization form for the evaluation report

Evaluation report reviewed and authorized by

PNUD Country Office

Name: GERARDO ARROYO

Sign: [Signature] Date: _____

RTA GEF/UNDP

Name: _____

Sign: _____ Date: _____