**Appendix 7: Costed M&E Plan**

The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 8. Reporting requirements and templates are an integral part of the UNEP legal instruments to be signed by the executing agencies and UNEP.

The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Appendix 4 includes Self-Monitoring, Analysis and Reporting Technology (SMART) indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators along with the key deliverables and benchmarks included in Appendix 6 will be the main tools for assessing project implementation progress and whether project results are being achieved. The means of verification and the costs associated with obtaining the information to track the indicators are summarized in Appendix 2. Other M&E related costs are also presented in the Costed M&E Plan and are fully integrated in the overall project budget.

The M&E plan will be presented to the first meeting of the PSC to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. The PSC will be responsible for proposing to UNEP management any necessary amendments to the M&E plan during project implementation. Indicators and their means of verification may also be fine-tuned by the PSC. Day-to-day project monitoring is the responsibility of the PCU but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Manager to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.

The Project Steering Committee (PSC) will receive periodic reports on progress and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility to the Task Manager in UNEP-DEPI. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.

Project supervision will take an adaptive management approach. The Project Manager will develop a project supervision plan at the inception of the project which will be communicated to the project partners during the first meeting of the PSC. The Project Manager will also be responsible for initial screening of the financial and administrative reports from the core partners prior to their submission to the Finance and Management Divisions of the United Nations Office at Nairobi. Progress vis-à-vis the delivery of agreed project outputs will be assessed by the PSC at least annually. Project risks and assumptions will be regularly reviewed both by project partners and the PCU on behalf of UNEP. Risk assessment and rating is an integral part of the annual Project Implementation Review (PIR), preparation of which will be the responsibility of the Project Manager. The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR and the PSC shall clear the PIR prior to its final submission. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.

A mid-term management review will be conducted by the Task Manager in consultation with the Project Manager and the outcomes reported to the Project Steering Committee. An independent terminal evaluation will take place at the end of project implementation. The Evaluation Office of UNEP will manage the terminal evaluation processes.

An independent terminal evaluation will take place at the end of project implementation. The Evaluation Office of UNEP will manage the terminal evaluation process. A review of the quality of the evaluation report will be done by the Evaluation Office and submitted along with the report to the GEF Evaluation Office not later than 6 months after the completion of the evaluation. The standard terms of reference for the terminal evaluation are included in Appendix 9. These will be adjusted to the special needs of the project.

The GEF tracking tools are attached as Appendix 14. These will be updated at mid-term and at the end of the project and will be made available to the GEF Secretariat along with the project PIR report. As mentioned above the mid-term and terminal evaluation will verify the information of the tracking tool.

1.2. Monitoring Responsibilities and Events

At the first meeting of the PSC the Project Manager shall present a full 24 month schedule including (i) tentative time frames for Steering Committee Meetings and meetings of the Scientific and Technical Advisory Committee and (ii) project related Monitoring and Evaluation activities.

*Day to day monitoring of implementation progress* will be the responsibility of the Project Manager based on the Project's Annual Work Plan and its indicators. The Project Coordination Unit will inform UNEP and the partner executing agencies of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion. The Project Manager will fine-tune the progress and performance/impact indicators of the Project in consultation with the full Project team and with support from UNEP and the partner executing agencies. These indicators will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan. Targets and indicators for the second year will be defined as part of the internal evaluation and planning processes undertaken by the Project Team and will be approved by the Project Steering Committee.

*Periodic monitoring of implementation progress* will be undertaken by both UNEP and the partner executing agencies through the provision of half-yearly reports submitted by each agency to the PCU. Furthermore, specific meetings can be scheduled between the Project Team, UNEP, the partner executing agencies and other pertinent stakeholders as deemed appropriate and relevant (e.g. Steering Committee members, Co-funding partners, etc). Such meetings will allow parties to troubleshoot any problems pertaining to the Project in a timely fashion and to ensure smooth implementation of project activities. A Report will be prepared by the Project Team in coordination with UNEP and the EAs, and circulated to the Project Team, all SC members, the EAs and IA and any accompanying stakeholders.

1.3. Project Monitoring Reporting

The Project Manager in conjunction with the Project extended team (PCU staff, UNEP and the task managers in partner executing agencies) will be responsible for the preparation and submission of the following reports that form part of the monitoring process. Items (a) through (d) are mandatory and strictly related to monitoring, while (e) through (f) have a broader function and the frequency and nature is project specific to be defined throughout implementation.

1. **Inception Report (IR)**

A Project Inception Report will be prepared immediately following the first Project Steering Committee meeting. It will include a detailed First Year Work Plan divided in quarterly time-frames detailing the activities and progress indicators that will guide implementation during the first year of the Project. This Work Plan will include the proposed dates for any visits and/or support missions from UNEP, EA or consultants, as well as time-frames for meetings of the PSC and STAC. The Report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months time-frame.

The Inception Report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may effect project implementation, including any unforeseen or newly arisen constraints.

When finalized, the report will be circulated to project counterparts who will be given a period of one calendar month in which to respond with comments or queries. Prior to this circulation of the IR, both UNEP and partner executing agencies will review the document.

**(b) Half-yearly Progress Report, Annual Project Report and Project Implementation Review (PIR)**

The Half-yearly Progress Report is a self-assessment report by project management to the UNEP Office and provides them with input to the reporting process as well as forming a key input to the Project Review undertaken by the Project Steering Committee.

The PIR is an annual monitoring process mandated by the GEF, to be conducted by the UNEP Project Manager in consultation with the partner executing agencies. It has become an essential monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects. In addition, UNEP Task Manager, based on the knowledge of the project progress, will submit to UNEP Evaluation Office an annual project report, which is a UNEP self-evaluation tool.

An Annual Project Reportis prepared on an annual basis. The purpose of the Annual Project Reportis to reflect progress achieved in meeting the project's Annual Work Plan and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The Annual Project Reportand Project Implementation Review (PIR) are discussed in the Project Steering Committee so that the resultant report represents a document that has been agreed upon by all of the primary stakeholders.

The items in the APR/PIR to be provided by the UNEP GEF Task Manager include the following:

* An analysis of project performance over the reporting period, including outputs produced and, where possible, information on the status of the outcome;
* The constraints experienced in the progress towards results and the reasons for these;
* The three (at most) major constraints to achievement of results;
* Annual Work Plans and related expenditure reports;
* Lessons learned; and
* Clear recommendations for future orientation in addressing key problems in lack of progress.

UNEP analyses the Annual Project Reportand Project Implementation Review for results and lessons. The Reports are also valuable for the Independent Evaluators who can utilize them to identify any changes in project structure, indicators, workplan, etc. and view a past history of delivery and assessment.

1. **Periodic Thematic Reports**

As and when called for by UNEP or the EAs, the project team will prepare Specific Thematic Reports, focusing on specific issues or areas of activity. The request for a Thematic Report will be provided to the project team in written form by UNEP/EAs and will clearly state the issue or activities that need to be reported on. These reports can be used as a form of lessons learnt exercise, specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered. UNEP and the EAs are requested to minimize their requests for Thematic Reports, and when such are necessary will allow reasonable timeframes for their preparation by the project team.

1. **Project Terminal Report**

During the last three months of the project the project team will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met, or not achieved, structures and systems implemented, etc. and will be the definitive statement of the Project’s activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the Project’s activities.

1. **Technical Reports**

Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report, the project team will prepare a draft Reports List, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated, and included in subsequent Annual Project Reports.

1. **Project Publications**

Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications may be scientific or informational texts on the activities and achievements of the Project, in the form of journal articles, multimedia publications, etc. These publications can be based on Technical Reports, depending upon the relevance, scientific worth, etc. of these Reports, or may be summaries or compilations of a series of Technical Reports and other analyses. The project team will determine if any of the Technical Reports merit formal publication, and will also, in consultation with UNEP, the partner executing agencies and other relevant stakeholder groups, plan and produce these publications in a consistent and recognizable format. Any publications need prior clearance from UNEP and the partner executing agencies. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

**2. Independent Evaluation**

The project will be subjected to an external evaluation as follows:-

**(i) Mid-Term Evaluation**

Due to the fact that the actual project implementation will be for 24 months there will be no independent mid-term evaluation. The UNEP Task Manager in collaboration with the Project Manager will carry out a desk study on the implementation progress, which will be reported to the Project Steering Committee.

**(ii) Final Evaluation**

An independent Final Evaluation will take place one month prior to the terminal review meeting, and will focus on the achievement of outcomes (Project Progress Indicators) and will identify cost effectiveness, efficiency and timeliness of project implementation; highlight issues requiring decisions and actions; and present initial lessons learned about project design, implementation and management The final evaluation will also look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. The Final Evaluation should also provide recommendations for follow-up activities. The Terms of Reference for this Final Evaluation will be prepared by UNEP-Evaluation Office in line with the GEF evaluation requirements.

###### Audit Clause

The partner executing agencies will provide UNEP with quarterly financial reports as well as certified annual financial statements with an audit of the financial statements relating to the status of UNEP (including GEF) funds according to the established procedures to be set out in the project document. The Audit will be conducted by the legally recognized auditor, or by a commercial auditor.

**3. Learning and Knowledge Sharing**

Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks including IW:Learn and forums. In addition:

* the project will participate, as relevant and appropriate, in UNEP/GEF sponsored networks, organized for Senior Personnel working on projects that share common characteristics; and
* the project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned.

The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identify and analysing lessons learned is an ongoing process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. UNEP shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned. To this end a percentage of project resources will need to be allocated for these activities.

Objectively verifiable indicators shown in the logical framework will be utilized in all evaluations.

**Indicative Monitoring and Evaluation Work plan and corresponding Budget**

|  |  |  |  |
| --- | --- | --- | --- |
| **Type of M&E activity** | **Responsible Parties** | **Budget US$** | **Time frame** |
| Project Steering Committee Meetings and Inception workshop | * Project Manager
* Project Team (PCU)
* UNEP
* Partner executing agencies
 | 1st PSC Meeting will be convened as an inception workshop and PSC meeting. Travel costs (as part of Components I to V & VII and IX budgets). 50,000 (Budgeted under Component IX at 20K, 15K, and 15K). | 1st PSC Meeting will serve as Inception workshop and will be held within first two months of project start up.  |
| Inception Report | * Project Manager
* Project Team (PCU)
* UNEP
* Partner executing agencies
 | None | Immediately following inception workshop |
| Measurement of indicators set in the Logframe (Project Progress and Performance to be measured on an annual basis)  | * GEF IW Task Manager
* Project Manager
 | Costs to be determined as part of the Annual Work Plan's preparation.  | Annually prior to APR/PIR and to the definition of annual work plans  |
| APR and PIR | * Project Manager and Project Team (PCU)
* Project GEF IW Task Manager
* Partner executing agencies
* UNEP
 | None | Annually  |
| Periodic status reports | * Project team (PCU)
 | None | To be determined by Project team, UNEP and EAs |
| Technical reports | * Working Groups
* Task force
* Hired consultants as needed
 | 647,500 (222,500 GEF resources in Components I-V; 425,000 Finish CF in Component VII)  | To be determined by Project Team, UNEP and EAs  |
| Final External Evaluation | * Project team (PCU)
* UNEP
* Partner executing agencies
* External Consultants (i.e. evaluation team)
 | 70,000 (includes rates, DSA and flights) | At the end of project implementation |
| Terminal Report | * Project team (PCU)
* UNEP
* Partner executing agencies
* External Consultant
 | None | At least one month before the end of the project |
| Lessons learned | * Project team (PCU)
* UNEP
* Partner executing agencies
 | None | Yearly as part of the PIR |
| Audit  | * UNEP
* Project team (PCU)
 | None  | Yearly |
|  |  |  |  |
| TOTAL indicative COST *All costs are embedded in components 1, 2, 3, 4, 5, 7, 8 & 9*  | 767,500 (of which 342,500 GEF and 425,000 Finish CF) |  |