

**Terminal Evaluation of the UNEP/UNDP/GEF Project  
Capacity Building Initiative for Transparency (CBIT)  
Global Coordination Platform (GCP)**

**GEF ID #: 9675  
(2017-2019)**

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Resilient nations.*



**Evaluation Office of the United Nations Environment Programme**

**February 2021**



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Capacity Building Initiative for Transparency Global Coordination Platform

GEF ID #: 9675 – UNEP: 01512 – UNDP: 6041

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The evaluation consultant hopes that the findings, conclusions and recommendations will contribute to the successful finalisation of the current project, formulation of a next phase and to the continuous improvement of similar projects in other countries and regions.

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Kris B. Prasada Rao holds an MSc in Human Geography and has 20 years of professional experience in climate change, natural resource management, environment, rural development, agriculture, and livelihoods. He has expertise in different aspects of climate change, including governance under the UNFCCC framework, adaptation and resilience, mitigation, and mainstreaming across sectors. He has worked in 39 countries, for a broad range of multilateral institutions including UNEP, UNDP and the European Union, bilateral donors, and NGOs. Kris B. Prasada Rao is a specialist in evaluation and has carried out numerous evaluations and reviews including complex strategic evaluations, global and regional multi-country programme evaluations, and in-country project evaluations. Moreover, he has hands-on programme and project implementation, management and oversight experience from positions with the Danish Committee for Aid to Afghan Refugees (DACAAR), Oxfam America, and IFAD. He has since 2011 been a partner and board member at PEMconsult.

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## ABOUT THE EVALUATION

**Joint Evaluation:** Yes

**Report Language(s):** English

**Evaluation Type:** Terminal Evaluation

**Brief Description:** This report is a terminal evaluation of the first phase (2017-2019) of the Capacity Building Initiative for Transparency Global Coordination Platform (CBIT GCP), implemented jointly by UNEP and UNDP and executed by UNDP and the UNEP DTU Partnership. The project had the following objective: Establish an online platform supporting countries to understand and implement the transparency framework of the Paris Agreement. The platform will both provide development partners with an overview of existing initiatives to coordinate support efficiently and countries with knowledge and information forums for sharing best practices. CBIT GCP had three components: i) Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform (executed by the UNEP DTU Partnership), ii) Information sharing enhanced through regional and global meetings (executed by UNDP), and iii) Needs and gaps identified for enhancing transparency systems and CBIT coordination (executed by UNDP). The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency) and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation had two primary purposes: i) to provide evidence of results to meet accountability requirements, and ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNDP and signatories to the Paris Agreement (forward-looking and practicable recommendations will be provided for the second phase of CBIT GCP).

**Key words:** UNFCCC; CBIT, Transparency; Transparency Systems; MRV; Platform; Peer Learning; Coordination; Capacity Building; Capacity Development; Online; Workshop; Governance; Project Evaluation; Climate Change; TE; Terminal Evaluation; GEF; GEF Project.

**Primary data collection period:** 29 July – 2 September 2020

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## LIST OF ACRONYMS

AFOLU	Agriculture, Forestry and Other Land Use
BMU	German Federal Ministry for Environment, Nature Conservation and Nuclear Safety
BUR	Biennial Update Report
CBIT	Capacity Building Initiative for Transparency
CEO	Chief Executive Officer
CIS	Commonwealth of Independent States
COP	Conference of the Parties (UNFCCC)
COVID-19	Corona Virus Disease
DTU	Technical University of Denmark
EA	Expected Accomplishment
EMG	Executive Management Group
FAO	Food and Agriculture Organisation
GCP	Global Coordination Platform
GEF	Global Environment Facility
GEF Sec.	GEF Secretariat
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GSP	Global Support Programme for National Communications and Biennial Update Reports
ICAT	Initiative for Climate Action Transparency
MRV	Measuring, Reporting, and Verification
MTS	Medium Term Strategy
NC	National Communication
NDC	Nationally Determined Contribution
PATPA	Partnership on Transparency in the Paris Agreement
PIF	Project Identification Form
PIR	Project Implementation Review
PoW	Programme of Work
PRC	UNEP Project Review Committee
PSC	Project Steering Committee
SMART	Specific, Measurable, Achievable, Relevant, and Time-bound
TE	Terminal Evaluation
ToC	Theory of Change
ToR	Terms of Reference

UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEP DTU	UNEP DTU Partnership
UNFCCC	United Nations Framework Convention on Climate Change

## PROJECT IDENTIFICATION TABLE

Table 1: Project Identification Table

<b>GEF Project ID:</b>	9675		
<b>Implementing Agency:</b>	UNEP, UNDP	<b>Executing Agency:</b>	UNEP DTU, UNDP
<b>Relevant SDG(s) and indicator(s):</b>	<p>13.2.1 Number of countries that have communicated the establishment or operationalisation of an integrated policy/strategy/plan which increases their ability to adapt to the adverse impacts of climate change, and foster climate resilience and low greenhouse gas emissions development in a manner that does not threaten food production (including a national adaptation plan, nationally determined contribution, national communication, biennial update report or other)</p> <p>17.16.1 Number of countries reporting progress in multi-stakeholder development effectiveness monitoring frameworks that support the achievement of the sustainable development goals</p>		
<b>UNEP Sub-programme:</b>	Climate Change	<b>UNEP Expected Accomplishment(s):</b>	Expected Accomplishment B: countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies
<b>UNDP focal area:</b>	Climate change - mitigation	<b>UNDP Regional Programme Outcome:</b>	Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded
<b>UNEP approval date:</b>	28 September 2017	<b>UNEP Programme of Work Output(s):</b>	Programme of Work 2018-2019 – Sub-Programme Climate Change
<b>UNDP approval date</b>	15 January 2018	<b>UNDP Strategic Plan output</b>	Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented
<b>GEF approval date:</b>	11 August 2017	<b>Project type:</b>	Medium Size Project
<b>GEF Operational Programme #:</b>		<b>Focal Area(s):</b>	Climate Change
		<b>GEF Strategic Priority:</b>	Capacity Building Initiative for Transparency
<b>Expected start date:</b>		<b>Actual start date:</b>	UNEP: 5 October 2017 UNDP: 15 January 2018



<b>Planned completion date:</b>	31 March 2019	<b>Actual operational completion date:</b>	UNEP: 31 December 2019 UNDP: 28 February 2020	
<b>Planned project budget at approval:</b>	USD 1,400,000	<b>Actual total expenditures reported as of 20 June 2020:</b>	UNEP: USD 892,726.50 UNDP: USD 495,731.00	
<b>GEF grant allocation:</b>	USD 1,000,000	<b>GEF grant expenditures reported as of 20 June 2020:</b>	UNEP: USD 492,726.50 UNDP: USD 483,231.00	
<b>Project Preparation Grant - GEF financing:</b>	Not applicable	<b>Project Preparation Grant - co-financing:</b>	Not applicable	
<b>Expected Medium-Size Project/Full-Size Project co-financing:</b>	USD 400,000	<b>Secured Medium-Size Project/Full-Size Project co-financing:</b>	USD 422,500	
<b>First disbursement:</b>	5 September 2018	<b>Planned date of financial closure:</b>	31 January 2021	
<b>No. of formal project revisions:</b>	1	<b>Date of last approved project revision:</b>	29 March 2020	
<b>No. of Steering Committee meetings:</b>	2	<b>Date of last/next Steering Committee meeting:</b>	<b>Last:</b> 19 Dec 2019	<b>Next:</b> tbd
<b>Mid-term Review/Evaluation (planned date):</b>	Not applicable	<b>Mid-term Review/Evaluation (actual date):</b>	Not applicable	
<b>Terminal Evaluation (planned date):</b>	30 April 2020	<b>Terminal Evaluation (actual date):</b>	1 April 2020	
<b>Coverage - Country(ies):</b>	Global	<b>Coverage - Region(s):</b>	Global	
<b>Dates of previous project phases:</b>	Not applicable	<b>Status of future project phases:</b>	PIF (GEFID: 10128) for Phase II-A approved, last resubmission of CEO Endorsement on 27 May 2020	

## EXECUTIVE SUMMARY

### Project background

1. Parties to the 2016 Paris Agreement under the UN Framework Convention on Climate Change (UNFCCC) have committed to submit and implement Nationally Determined Contributions which set out their national commitments vis-à-vis combatting climate change. Moreover, countries are committed to establish measuring, reporting, and verification (MRV) systems to assess the impact of their climate change actions and policies, in order to report to UNFCCC and provide information for knowledge-based decision-making. The Paris Agreement also establishes an “enhanced transparency framework (ETF) for action and support”, covering information about the actions undertaken by all Parties. However, developing countries face challenges in establishing systems for implementing their reporting obligations. Moreover, there was no global mechanism tracking progress in establishing transparency systems or for systematic global coordination of efforts supporting developing countries in establishing transparency systems.
2. The GEF funded Capacity Building Initiative for Transparency Global Coordination Platform (CBIT GCP) had the following objective: Establish an online platform supporting countries to understand and implement the transparency framework of the Paris Agreement. The platform will both provide development partners with an overview of existing initiatives to coordinate support efficiently and countries with knowledge and information forums for sharing best practices. CBIT GCP had three components: i) Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform, ii) Information sharing enhanced through regional and global meetings, and iii) Needs and gaps identified for enhancing transparency systems and CBIT coordination. Component 1 was implemented by UNEP and executed by the UNEP DTU Partnership, whereas component 2 and 3 were implemented and executed by UNDP.

### This evaluation

3. The terminal evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency) and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation had two primary purposes: i) to provide evidence of results to meet accountability requirements, and ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNDP and signatories to the Paris Agreement (forward-looking and practicable recommendations will be provided for the second phase of CBIT GCP). A combination of methods was used to gather information: document review, distance interviews with key stakeholders and selected country representatives, and an online survey open to all participating countries.

### Key findings

4. The project was fully anchored in Paris Agreement Article 13 on transparency, which created CBIT to improve reporting capacities of countries. It contributed to UNEP's and UNDP's objectives vis-a-vis climate change and improved access to data. Participating countries to a large extent found CBIT GCP relevant, in particular in terms of providing opportunities for networking and sharing of experiences, but also in terms of providing

- access to approaches, guidelines and tools, and training. Most countries found that CBIT GCP either fully or partly addressed their needs and priorities.
5. The underlying analysis was clear, as was the problem and stakeholder identification. The implementation strategy was coherent and realistic with a causal link from outputs to outcomes clearly spelled out, albeit with some shortcomings in the definition of outcomes and associated indicators. The project management setup was appropriate with clearly defined roles for the implementing partners and stakeholders. The project was partly set up as two separate sub-projects.
  6. All the envisaged activities were completed, and all outputs were delivered. All targets associated with the outputs were exceeded, including the number of users of the online platform and participants in the workshops. The different services provided by CBIT GCP were found useful by significant majority of CBIT countries. However, the proportion of web platform visits and webinar participants from CBIT countries was fairly low compared to the proportion from the North. Although there was good participation from CBIT countries (33-41 countries) in the annual technical workshops, they were still outnumbered by international partner representatives.
  7. The intended outcomes were achieved. A significant proportion of the CBIT countries use the CBIT GCP resources and in particular the learnings from workshops and in their work on national transparency systems. A challenge for CBIT GCP was to speak to the different interests of a large and diverse group of CBIT countries, which are at different stages of CBIT implementation. Some countries were mainly interested in learning from other countries in their own regions, whereas other were more interested in learning from other region. Some of the more advanced countries felt there was little they could learn from the other countries. International partners used CBIT GCP for obtaining information about the implementation status, needs and gaps of the various countries. CBIT GCP also contributed to enhanced information sharing and coordination among international partners in the MRV Group of Friends. However, the coordination among international partners remained to a large extent at the level of information sharing rather than coordinated action and division of labour, although CBIT GCP itself did coordinate with FAO and PATPA. CBIT countries found that CBIT GCP had a positive contribution to policy frameworks, plans/strategies and implementation of national transparency systems.
  8. The respective financial procedures of UNEP and UNDP were followed and funds were made available in a timely manner. Spending was in accordance with the budget, with full budget execution. A six months no-cost extension was requested and approved, in order to cover the expected gap period between phase 1 and 2, and also to align better with the timeline of the CBIT national projects, as many of these had been delayed. UNEP and UNDP mobilised existing programmes in the delivery CBIT GCP, leveraged more co-financing than anticipated and engaged in partnerships with other initiatives, thereby creating synergies and mutual benefits. Project monitoring and reporting mainly captured the delivery of outputs and activities and their utility for CBIT countries, but did not capture the changes to which the project made a contribution (e.g. strengthening CBIT national projects or coordination improvements). The coordination and cooperation between UNEP, UNDP and UNEP DTU was very well-functioning and the project components were mutually reinforcing. The project steering committee only met once during implementation and once again at project completion, so it did not play a major role in providing strategic guidance.

9. The CBIT National Focal Points demonstrated an interest in the networking and sharing opportunities provided by CBIT GCP, but continuation in the future would require facilitation and financial support by international agencies; it is not something that developing countries can be expected to do without assistance. CBIT GCP phase 2 has been formulated and has moved forward in the UNEP, UNDP and the GEF approval processes. In line with the recommendation of the Global Support Programme mid-term review, it is planned to establish a single joint UNDP-UNEP/UNEP DTU project management unit which covers both CBIT GCP and the Global Support Programme.
10. Gender issues were addressed with concrete activities, but human rights were not considered, despite the link between transparency systems and freedom of information. CBIT GCP also reached out to a larger audience through the side events linked to the UNFCCC process, and achieved good visibility.

### **Conclusions**

11. Based on the findings from this evaluation, the project demonstrates performance at the 'Satisfactory' level (a table of ratings against all evaluation criteria is found in Chapter VI).
12. Achievements: Feedback from CBIT countries consistently shows that CBIT GCP addressed a real need of the CBIT countries, in particular, there was an appetite for sharing and peer learning, but also for gaining access to methodologies tools and for interacting with international technical partners and donors. CBIT GCP also provided a platform for enhanced coordination and information sharing among international partners. There was overall a high degree of satisfaction among CBIT countries with the quality and appropriateness of the outputs delivered. A significant proportion of the CBIT countries appears to have used the resources on the web platform in their work, as well as the learnings from the webinars and workshops, in particular from the experiences from other countries and there is scope for further enhanced sharing as the implementation of CBIT national projects pick up and more experience and lessons are obtained. Most CBIT countries have not yet, or have only recently, embarked on CBIT implementation, but already report that CBIT GCP has made a contribution to strengthening the national transparency system processes.
13. CBIT GCP was implemented in a cost-effective and timely manner and according to plan and budget. Good use was made of partnerships and co-funding, which enhanced the delivery of outputs and activities. Project management and coordination worked well, despite the de-facto split of project implementation into two separate sub-projects. These synergies will be utilised even more effectively, with the planned full integration of the UNEP and UNDP components and CBIT GCP and the Global Support Programme (GSP). The evaluation welcomes the move towards full integration.
14. Challenges: Serving a large and diverse number of CBIT countries, with language differences and at different levels of progress on setting up transparency systems, was a challenge. Most countries appreciated learning from countries that were advanced in CBIT implementation, but one interviewee found that there is little that the first movers can learn from the majority of less advanced countries. This challenge is likely to further increase as the number of CBIT countries grows and countries move forward at different paces.
15. While the web platform was a useful resource for CBIT National Focal Points, the online format appears more effective for reaching international partners than directly reaching the end-users. Although there was a good representation of CBIT countries at the annual technical workshops, they were outnumbered by international partners.

16. The coordination among international partners still remains mainly at the level of information sharing rather than coordinated or joint action, although CBIT GCP collaborated with FAO and PATPA.
17. Human rights were not considered in the project design or implementation.
18. With a focus mainly on output indicators (only outcome 1 had outcome indicators), the monitoring was not fully suited for capturing change.
19. UNEP did not have a clear internal linkage between their CBIT GCP and GSP components, and the merger with GSP is a significant change for UNEP. The planned creation of a single CBIT GCP and GSP at UNEP DTU does currently include clear provisions for utilising UNEP's technical expertise and experience vis-à-vis GSP.

### Lessons Learned

20. Lesson 1: There is a high demand for experience sharing and peer learning among developing countries.
21. Lesson 2: International partners readily share information and appreciate the value of this, but tangible cooperation is more difficult to nurture.
22. Lesson 3: Global platforms can influence and contribute to strengthening national implementation.
23. Lesson 4: Online platforms and global workshops can be used to engage developing countries, but international partners are more easily reached.
24. Lesson 5: Integration of gender and human rights considerations can be promoted through global platforms, but this requires deliberate action by the platform facilitators.

### Recommendations

25. Recommendation 1: Bring UNEP's in-house technical expertise into the implementation arrangements for CBIT GCP phase 2.
26. Recommendation 2: Further expand and deepen opportunities for peer learning.
27. Recommendation 3: Enhance the involvement of international partners in CBIT GCP implementation as a means to inspire closer cooperation.
28. Recommendation 4: Address the link between climate transparency and the freedom of information principle.
29. Recommendation 5: Capture the added value and contribution to national transparency systems.

## I. INTRODUCTION

30. The Capacity Building Initiative for Transparency Global Coordination Platform (CBIT GCP) was funded under the GEF climate change sub-programme and implemented by UNEP and UNDP. The Energy and Climate Branch of the UNEP Economy Division implemented one component, which was executed by the UNEP DTU Partnership (UNEP DTU). Implemented in October 2017 – February 2020, CBIT GCP fell under the **UNEP 2018-2021 Medium Term Strategy** and **2018-2019 Programme of Work**<sup>1</sup>, and the following UNEP sub-programmes under which it aimed to contribute to the following expected accomplishments: a) Sub-programme 1 climate change, expected accomplishment (b): countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies; and b) Sub-programme 7 environment under review, expected accomplishment: governments and other stakeholders use quality open environmental data, analyses and participatory processes that strengthen the science-policy interface to generate evidence-based environmental assessments, identify emerging issues and foster policy action.
31. UNDP implemented two components through its programme team for the GEF-funded Global Support Programme (GSP) under the Bureau for Policy and Programme Support; based at the Europe and CIS Regional Hub in Istanbul. CBIT GCP contributed to the **UNDP Strategic Plan** Output 1.4 scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.
32. CBIT GCP is a global project, open for participation of all countries which are embarking on or implementing a national CBIT project. The first phase of CBIT GCP was endorsed by the GEF's Chief Executive Officer (CEO) on 11 August 2017 and approved by UNEP on 28 September 2017 and UNDP on 15 January 2018. Implementation commenced on 5 October 2017 and was initially scheduled to complete on 31 March 2019 but was extended and UNEP completed implementation on 31 December 2019 and UNDP on 28 February 2020. The total budget was USD 1,4 million, comprising a USD 1 million grant from the GEF and USD 400,000 in-kind co-financing from UNEP DTU in the form of inputs from the Initiative for Climate Action Transparency (ICAT). A second phase is under development and anticipated to commence in January 2021.
33. This terminal evaluation (TE) is the first evaluation made of CBIT GCP. It covers the first phase of CBIT GCP. It is carried out in accordance with the provisions of the UNEP Evaluation Policy and the UNEP Programme Manual. As specified in the terms of reference (ToR), the objective is "to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability". The TE has two main purposes: a) to provide evidence of results to meet accountability requirements to promote operational improvement; and b) learning and knowledge sharing through results and lessons learned among UNEP, UNDP and signatories to the Paris Agreement (forward-looking and practicable recommendations will be provided for the second phase of CBIT GCP). The key target audience of the TE is staff from UNEP, UNEP DTU, UNDP and the

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<sup>1</sup> The first three months were during the 2014-2017 Medium Term Strategy and the 2016-2017 Programme of Work, but since the project was mainly in its inception and mobilisation during the last three months of 2017, it did not contribute significantly to these.

GEF Secretariat with a direct involvement/role in relation to CBIT GCP. Moreover, the TE is available to the general public, including participating countries and donors to the GEF.

## II. EVALUATION METHODS

34. The TE adheres to UNEP/GEF TE guidelines. It is based on a combination of direct consultations with stakeholders and secondary sources, i.e. project documentation and data provided by UNDP and UNEP DTU. A combination of methods was used to gather information in order to triangulate information/data and thereby ensure their solidity and reduce information gaps.
35. **Document review:** Available project documentation was reviewed, including: the CEO Endorsement Request and amendments, PIRs (project implementation review reports), work plans, project budget, coordination minutes, website traffic information, publications, workshop outputs, available survey data, and the GEF tracking tool. The assessment of results (outcomes) utilised the project's own indicators and monitoring data as much as possible/appropriate. See Annex III for a full list of the documents reviewed.
36. **Stakeholder consultations:** Remote interviews were carried out with key staff at UNEP, UNDP, UNEP DTU, the GEF Secretariat, the UNFCCC Secretariat, other CBIT technical agencies<sup>2</sup>, partner organisations, and co-funders<sup>3</sup>. At the national level, distance interviews were carried out with CBIT National Focal Points from Non-Annex I countries<sup>4</sup>, and UNDP national CBIT project staff<sup>5</sup>, selected on the basis of having participated significantly in CBIT GCP activities in order to ensure informed responses and reflections on the project, identified based on advice from the CBIT GCP project team. A total of 28 (18 women, 10 men) remote interviews were carried out. See Annex II for a list of interviewees.
37. A brief online survey with CBIT National Focal Points was conducted to get wider and quantitative information on value added of CBIT GCP and the benefits participation provided to national MRV (measuring, reporting, and verification) and CBIT processes. All CBIT countries were invited to participate in the survey, 23 countries<sup>6</sup> out of a total of 69 CBIT countries<sup>7</sup> (33 percent) responded (19 male, 4 female respondents). To ensure a good response, follow-up reminders were sent to the CBIT National Focal Points.
38. **Analysis:** The data analysis was an iterative process throughout the TE, where initial findings and recommendations were discussed and tested with stakeholders as the TE progressed to ensure their validity and appropriateness, and stakeholder participation and ownership. Due to the coordination, peer learning and capacity development nature of CBIT GCP without in-country implementation, most information and data were qualitative, with the exception of survey responses (multiple choice), and data on the

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<sup>2</sup> FAO, Conservation International

<sup>3</sup> The German Federal Ministry for Environment, Nature Conservation and Nuclear Safety (BMU), the Italian Ministry of Environment, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)

<sup>4</sup> ESwatini, Georgia, Lebanon, Peru, Uruguay

<sup>5</sup> North Macedonia, Serbia

<sup>6</sup> Azerbaijan, Bangladesh, Burkina Faso, Cambodia, China, Côte d'Ivoire, Dominican Republic, Eswatini, Ethiopia, Georgia, Ghana, Guatemala, Jamaica, Lebanon, Liberia, Mongolia, North Macedonia, Papua New Guinea, Paraguay, Peru, Serbia, Togo, Uruguay

<sup>7</sup> Afghanistan, Antigua and Barbuda, Argentina, Armenia, Azerbaijan, Bahamas, Bangladesh, Benin, Bosnia-Herzegovina, Botswana (COMESA), Burkina Faso, Cambodia, Chile, China, Colombia, Comoros (COMESA), Costa Rica, Cote d'Ivoire, Cuba, Dominican Republic, Equatorial Guinea, Eritrea (COMESA), Eswatini, Ethiopia, Fiji, Gambia, Georgia, Ghana, Guatemala, Haiti, Honduras, India, Indonesia, Jamaica, Kenya, Lao PDR, Lebanon, Liberia, Madagascar, Malawi, Maldives, Mauritius, Mexico, Mongolia, Montenegro, Morocco, Myanmar, Namibia, Nicaragua, North Macedonia, Panama, Papua New Guinea, Paraguay, Peru, Rwanda, Serbia, Seychelles (COMESA), Sierra Leone, South Africa, Sri Lanka, Sudan, Thailand, Togo, Trinidad and Tobago, Uganda, Uruguay, Viet Nam, Zambia (COMESA), Zimbabwe



- number of participants/users (countries) in activities/of outputs and financial data. Hence, the data was mainly analysed through a qualitative assessment.
39. The ToR provided a comprehensive set of 40 evaluation questions, (see annex V). These were further crystallised and expanded with indicators. The project's own indicators were utilised as much as possible for the evaluation questions. The evaluation questions were organised in the following main categories as per UNEP's evaluation guidelines: strategic relevance, quality of project design, nature of external context, effectiveness (availability of outputs, achievement of project outcomes, likelihood of impact), financial management, efficiency, monitoring and reporting, sustainability, and factors and processes affecting project performance and cross-cutting issues. The assessments of results, outcomes, impact, drivers and assumptions were structured on the basis of the reconstructed theory of change (ToC) at evaluation.
  40. Performance ratings were assessed and calculated using the standard UNEP rating method, criteria and calculation tool.
  41. **Ethics and human rights:** Throughout this evaluation process and in the compilation of the evaluation report, efforts have been made to represent the views of all stakeholders. Data were collected with respect to ethics and human rights issues. All information was gathered after prior informed consent from people, all discussions and survey responses remained anonymous and all information was collected according to the UN Standards of Conduct.
  42. **Limitations:** Due to travel restrictions associated with the COVID-19 pandemic as well as budget and time limitations, stakeholder consultations were exclusively in the form of distance consultation. It was not feasible to interview representatives from all 69 CBIT countries participating, but only a sample of those. Considering the very diverse contexts and specificities of each country, the general picture obtained by the TE consultant may not be fully applicable for all countries and regions. The online survey was a tool to mitigate this limitation and enabled broader participation.
  43. The TE consultant could not visit the supported Non-Annex I Parties, and was thus not be able to make a detailed assessment/verification of the application of the skills and capacities gained at the national level and the perspectives of a broader selection of stakeholders in the national CBIT project and transparency system development, nor was the TE able to make an in-depth assessment of factors promoting or inhibiting the application of the skills and capacities at the country level.
  44. The available monitoring data and information mainly captured outputs and only to a lesser extent, outcomes. CBIT GCP provided an option for countries to participate on a voluntary basis in capacity development "enabling" activities. However, the extent to which the participation in these led to results, in terms of improved monitoring reporting, hinged on a number of factors at the national level, over which CBIT GCP had little control or influence, and as such, changes at the national level, or the absence of results, cannot be attributed specifically to CBIT GCP. Moreover, since most national CBIT projects have only recently embarked on implementation or are yet to commence, it is premature to establish how and to what extent CBIT GCP has influenced or impacted on their effectiveness and results, although CBIT GCP's influence on their design has been assessed.

### III. THE PROJECT

#### A. Context

45. Parties to the 2016 Paris Agreement under the UN Framework Convention on Climate Change (UNFCCC) have committed to prepare, submit and implement Nationally Determined Contributions (NDC) which set out the countries' priorities and commitments vis-à-vis combatting climate change, including its mitigation and adaptation goals and means of implementation. NDCs are implemented at the country-level through policies and actions. Moreover, countries are committed to establish measuring, reporting, and verification (MRV) systems to assess the impact of their climate change actions and policies, in order to report to UNFCCC and provide information for knowledge-based decision-making. The Paris Agreement also establishes an "enhanced transparency framework for action and support", which covers information about the mitigation and adaptation actions undertaken by all Parties. Article 13 of the Paris Agreement establishes that each Party must submit a national greenhouse gas inventory report, and the information necessary to track NDC implementation progress.
46. However, developing countries (Non-Annex 1 Parties) face challenges in establishing their MRV systems and implementing their reporting obligations. Moreover, at the start of CBIT GCP there was no mechanism for systematic global coordination and global knowledge management, and therefore no overview of the countries' progress towards establishing national transparency systems and reporting capacities, and also a risk of duplication and lack of synergy between efforts supporting developing countries in establishing transparency systems. CBIT GCP was established to address this gap, and also to facilitate the sharing of lessons and best practices among developing countries.

#### B. Results framework

47. CBIT GCP had the following objective: Establish an online platform supporting countries to understand and implement the transparency framework of the Paris Agreement. The platform will both provide development partners with an overview of existing initiatives to coordinate support efficiently and countries with knowledge and information forums for sharing best practices.<sup>8</sup>
48. CBIT GCP had three intended outcomes<sup>9</sup>:
  1. Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform
  2. Information sharing enhanced through regional and global meetings
  3. Needs and gaps identified for enhancing transparency systems and CBIT coordination
49. The above outcomes were pursued through the components and outputs presented in table 2 below. Component 1, the online platform, was implemented by UNEP and executed by UNEP DTU. Component 2, technical workshops and events, in particular

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<sup>8</sup> CEO Endorsement Request, 2017. No subsequent revisions/amendments were made to the results framework.

<sup>9</sup> Ibid

three annual global technical workshops, and component 3, essentially the planning of phase 2 of CBIT GCP, were implemented and executed by UNDP.

**Table 2: CBIT GCP components, outcomes and outputs<sup>10</sup>**

Component/outcome	Output	Agency
1. Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform	1.1 A web-based coordination platform on transparency designed and operational	UNEP + UNEP DTU
	1.2 Self-assessment tool for countries to assess the state of their national transparency systems developed and deployed	
	1.3 Platform interface for self-progress reporting by national CBIT projects and other transparency initiatives designed	
	1.4 Coordination platform populated with data and information on transparency initiatives, CBIT national projects and country efforts (collected from 1.2 and 1.3)	
	1.5 Available transparency-related emerging practices, methodologies, and guidance collected and made available through the coordination platform	
2. Information sharing enhanced through regional and global meetings	2.1 Coordination platform launched in kick-off event	UNDP
	2.2 Three technical workshops on transparency organized and executed	
3. Needs and gaps identified for enhancing transparency systems and CBIT coordination	3.1 Needs & gaps identified for enhancing transparency systems and CBIT coordination	
	3.2 Roadmap for Phase 2 to expand the CBIT coordination platform as per the scope of paragraph 21 of the CBIT programming paper, including: institutional arrangements, best practices and community of practice, global and regional capacity building programmes, implementation tracking tool, coordination with other platforms, etc.	

### C. Stakeholders

50. CBIT GCP was exclusively implemented through global and regional activities broadly targeting all CBIT countries and did not engage directly in specific CBIT countries. CBIT events were accessible to interested countries and development partners – but within the budget available, the project could only accommodate a small number of people from each country and thus specifically targeted national focal points for CBIT processes. Table 3 below presents the main stakeholders and their interests, role and benefits.

**Table 3: Stakeholder Analysis**

Stakeholder	Interest	Role and contribution	Influence	Benefits
UNEP: GEF Climate Change Mitigation Unit, Energy and Climate Branch, Economy Division	Supporting countries in implementing national CBIT projects, transparency and MRV systems	Implementing agency for component 1 EMG and PSC member	High	Coordination with other technical agencies supporting CBIT/transparency Peer learning and overview of the CBIT landscape

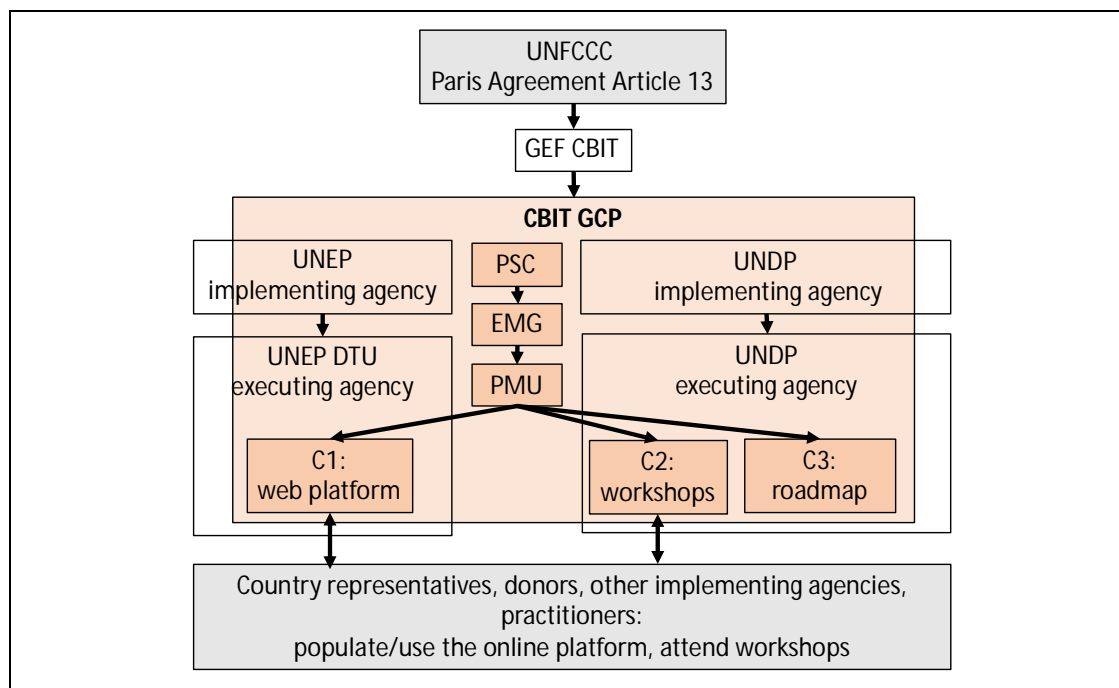
<sup>10</sup> CEO Endorsement Request, 2017

UNEP DTU	Supporting countries in the implementation of transparency and MRV systems (e.g. through ICAT)	Executing agency for component 1 – day-to-day implementation EMG member	High	Coordination with other technical agencies supporting CBIT/transparency Peer learning and overview of the CBIT landscape
UNDP: Bureau for Policy and Programme Support	Implements the GSP, which focuses on sharing and capacity development vis-à-vis national reporting to the UNFCCC and MRV – closely related to CBIT GCP	Implementing entity for components 2 and 3 – day-to-day implementation EMG and PSC member	High	Coordination with other technical agencies supporting CBIT/transparency Peer learning and overview of the CBIT landscape
UNDP: Europe and CIS Regional Hub	Supporting countries in implementing national CBIT projects, transparency and MRV systems	Executing entity for components 2 and 3		
GEF Secretariat	Financier of national CBIT projects	Donor financing CBIT GCP PSC member	High	Coordination with technical agencies Entry point for engagement with CBIT countries Access to information on CBIT projects
UNFCCC Secretariat	Supports the UNFCCC process, and the implementation of UNFCCC COP decisions	PSC member	Medium	Coordination with technical agencies and donors Entry point for engagement with CBIT countries
Governments of Non-Annex I Parties (CBIT countries)	Committed under UNFCCC to establish national transparency and MRV systems	Primary stakeholders (CBIT National Focal Points) and end beneficiaries targeted by the project Represented in PSC	Medium	Access to technical guidance, tools, capacity development Peer learning
Governments of Annex I Parties (e.g. Germany, Italy)	Committed under UNFCCC to support developing countries financially vis-à-vis implementing UNFCCC commitments	Represented in PSC Germany and Italy co-funded/hosted global technical workshops	Medium	Coordination with technical agencies and donors, Entry point for engagement with CBIT countries
Other development partners and support initiatives (e.g. FAO, Conservation International, PATPA/GIZ)	Supporting countries in implementing national CBIT projects, transparency and MRV systems	Coordinate activities with CBIT GCP	Low	Coordination with other technical agencies supporting CBIT/transparency Peer learning and overview of the CBIT landscape Entry point for engagement with CBIT countries

#### **D. Project implementation structure and partners**

51. UNEP and UNDP were each responsible for their own components, activities and budget. This setup was unusual in that there was not one agency with the overall responsibility. Rather, CBIT GCP was implemented as separate sub-projects managerially and financially speaking, although the implementation was coordinated with joint oversight and coordination structures and UNEP had the role of coordinating and submitting the technical reporting for the entire project.
52. Component 1 had UNEP as the GEF implementing agency, providing strategic oversight and the UNEP DTU Partnership as the GEF executing agency, responsible for day-to-day implementation.
53. For component 2 and 3, UNDP had the dual roles as implementing agency (Bureau for Policy and Programme Support, New York) and executing agency (Europe and CIS Regional Hub, Istanbul), and the implementing and executing roles were separated internally (firewall). This setup was unusual in that the implementing and executing functions were carried out by the same agency, but has also been used in other global GEF projects, including GSP.
54. **Project Steering Committee (PSC):** The implementation of CBIT GCP was overseen and guided by the Project Steering Committee (PSC) comprising representatives from UNEP, UNDP, UNEP DTU Partnership, the UNFCCC Secretariat, and the GEF Secretariat. For each meeting, one Annex I country and one Non-Annex I country were invited (different countries in each meeting, in the first meeting Germany and Uruguay, in the second, Italy and eSwatini). The PSC approved annual work plans and budgets. The PSC met twice, on 26 September 2018 and 19 December 2019.
55. **Executive Management Group (EMG):** Implementation was coordinated by the Executive Management Group (EMG) comprising the UNEP task manager, the UNDP project manager and task manager, and the UNEP DTU Partnership (UNEP DTU) project manager. The EMG met in 17-18 January 2018, 13 February 2019, and 18-19 June 2019.
56. **Project Management Unit (PMU):** Day-to-day implementation was managed by the Project Management Unit (PMU) comprising the UNDP project manager and the UNEP DTU project manager.
57. The project management setup is depicted in figure 1.

Figure 1: Organigram of the Project with key project key stakeholders



## E. Changes in design during implementation

58. No changes were made to the project design. Additional co-financing was mobilised from Germany and Italy for the annual technical workshops in Berlin (2018) and Rome (2019). A no-cost extension was requested and granted to bridge the gap between the first and the planned second phase. Only minor adjustments were made to the budget.

## F. Project financing

59. As shown in table 4, spending was in line with the foreseen budget and the spending rate was very satisfactory both for the overall GEF grant (98 percent) and for each component (91-106 percent). Project management costs were significantly below budget, in particular for UNDP, whose savings were used for increased spending under component 2.
60. The anticipated USD 400,000 in-kind co-financing from UNEP DTU, in the form of ICAT technical resources, was fully mobilised according to UNEP DTU. In addition to this, a cash contribution of USD 12,500 (EUR 10,000) from the Government of Italy was mobilised by UNDP for the 2019 technical workshop in Rome. The Government of Germany covered the venue costs of the 2018 technical workshop in Berlin with a contribution of USD 10,000. UNDP-DTU provided the venue and catering for the 2017 technical workshop in Copenhagen, as well as additional staff time for CBIT GCP activities.

Table 4: Expenditure by Agency (GEF funds)

Component/sub-component/output	Estimated cost at design	Actual cost/ expenditure (June 2020)	Expenditure ratio (actual/planned)
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UNEP	USD 515,000.00	USD 492,726.50	95.6%*
UNDP	USD 485,000.00	USD 483,231.00	99.6%

Sources: Financial statements: UNEP (Umoja), UNDP (Atlas)

\*Additional USD 22,273.50 are committed for the Terminal Evaluation, but not paid yet.

**Table 5: Expenditure by Outcome/Output (GEF funds)**

Component/sub-component/output	Estimated cost at design	Actual cost/ expenditure (June 2020)	Expenditure ratio (actual/planned)
Component/outcome 1 (UNEP)	USD 465,000.00	USD 442 726,5	95%*
Component/outcome 2 (UNDP)	USD 350,000.00	USD 370,228.65	106%
Component/outcome 3 (UNDP)	USD 85,000.00	USD 77,568.69	91%
Management (UNEP)	USD 50,000.00	USD 35,594.13	71%*
Management (UNDP)	USD 50,000.00	USD 50,000.00	100%
<b>Total</b>	<b>USD 1,000,000.00</b>	<b>USD 976,117.47</b>	<b>98%</b>

Sources: Financial statements: UNEP (Umoja), UNDP (Atlas)

\*Additional USD 22,273.50 are committed for the Terminal Evaluation, but not paid yet.

**Table 6: Co-financing Table**

Co-financing (Type/Source)	UNEP DTU Financing (USD 1,000)		Government (USD 1,000)		Other* (USD 1,000)		Total (USD 1,000)		Total Disbursed (USD 1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
Grants	-	-	-	12.5	-	-	-	12.5	12.5
Loans	-	-	-	-	-	-	-	-	-
Credits	-	-	-	-	-	-	-	-	-
Equity investments	-	-	-	-	-	-	-	-	-
In-kind support	400.0	400.0**	-	-	-	-	400.0	400.0	400.0
Other	-	-	-	10.0	-	-	-	10.0	10.0
<b>Totals</b>	<b>400.0</b>	<b>400.0</b>	<b>0</b>	<b>22.5</b>	<b>0</b>	<b>0</b>	<b>400.0</b>	<b>422.5</b>	<b>422.5</b>

Sources: CEO Endorsement, financial statements, UNEP-DTU co-finance report

\* This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

\*\* Technical inputs from ICAT. In addition, UNEP-DTU provided the venue and catering for the 2017 technical workshop.

#### IV. THEORY OF CHANGE AT EVALUATION

61. The TE made some revisions to the phrasing of the of the objective and outcomes of the project to make them consistent with UNEP and UNDP results' definitions. The changes and justifications are provided in Table 7. A reconstructed theory of change (ToC) was elaborated in consultation with UNEP, UNDP and UNEP DTU staff involved in the project. No changes were made to the outputs, although it could be argued that the outputs for component 2 and 3 were phrased as activities rather than outputs, as the TE finds them coherent, and that this minor issue is a matter of wording rather than substance<sup>11</sup>. Moreover, the intervention logic and the causal links from activities to outputs and outcomes presented in the original ToC and results framework are coherent, and thus remain unchanged. The ToC at evaluation is depicted in figure 2. A description of the expected and realised roles of the key actors in CBIT GCP is provided in Table 3.
62. **Outputs to outcomes:** The outputs are organised in three components, with each corresponding to one of the three intended outcomes:
1. Outputs 1.1-1.5 relate to the establishment of a web-based platform for coordination, reporting on country progress, sharing of experiences and technical resources (guidelines and tools), which will lead to outcome 1, enhanced coordination and sharing. The outputs were executed by UNEP DTU. The primary target audience were national CBIT focal points and implementors, but also international partners and experts.
  2. Outputs 2.1-2.2 concern events and workshops, which will lead to outcome 2, enhanced information sharing. The outputs were executed by UNDP.
  3. Outputs 3.1-3.2 relate to the identification of needs and gaps hampering CBIT coordination and establishing transparency systems and developing a roadmap to address these through a second phase of CBIT GCP, which will lead to outcome 3, a strategy/plan in place for post-project continuation of global coordination, sharing and information. The outputs were executed by UNDP. The roadmap was based on lessons and results from the implementation of components 1 and 2, consultations with CBIT focal points, and internal discussions between UNDP, UNEP and the GEF.
63. **Outcomes to impact:** The enhanced coordination, sharing of best practice and information as well as a tangible (and funded) plan for continued coordination and sharing, are expected to contribute to the impact (or rather, higher level outcome) of countries having an enhanced understanding and capacity of countries to implement their transparency commitment under the Paris Agreement.
64. **Assumptions and drivers:** The CEO Endorsement Request (ToC and results framework) identifies a number of assumptions and risks at the output-to-outcome and outcome-to-impact levels. These were generally valid and have been included in the reconstructed ToC, albeit with some modifications to the wording to phrase them more clearly as assumptions, but not all of them were truly assumptions and they were mainly output-related. Those related specifically to component 2 have been relabelled as drivers, since they are under the direct control of the project partners (UNEP and UNDP). One new

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<sup>11</sup> Outputs 2.1-3.2 could for example have been phrased as follows: 2.1: Coordination platform launched and operational – 2.2: CBIT National Focal Points and international partners have shared experiences and obtained technical knowledge on transparency systems – 3.1 Need and gaps documented – 3.2 Roadmap in place for expansion of the CBIT coordination platform during CBIT GCP phase 2.



assumption has been added vis-à-vis outcome 1: Governments use the platform services and provide information to keep the website up to date.

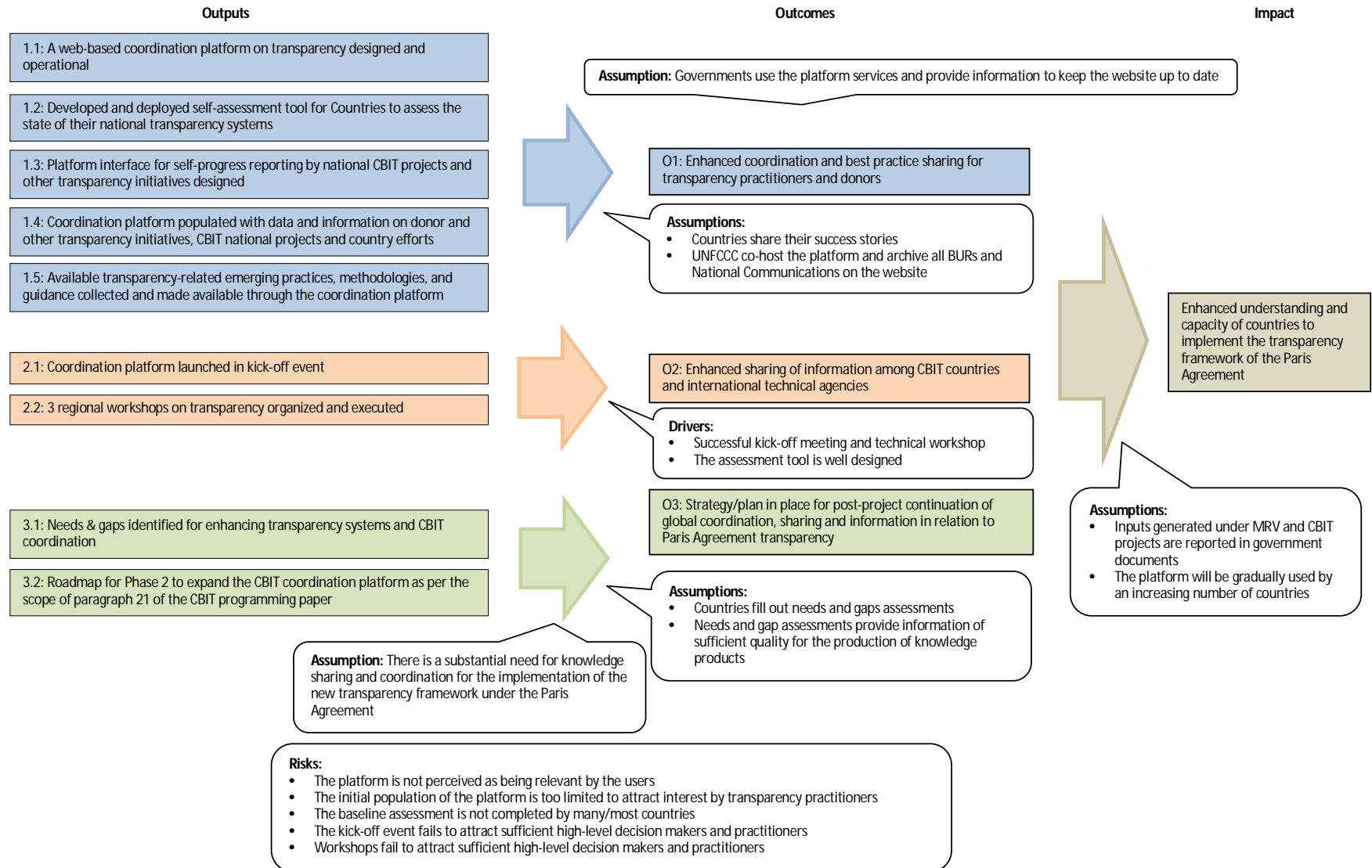
65. **Risks:** While risks are normally not included in the standard UNEP ToC approach, the risks that threatened the delivery of the intended outcomes as identified in the CEO Endorsement Request have been added to the bottom of the ToC, since risks are generally included in UNDP ToCs. All of the risks identified were relevant for the project.

**Table 7: Justification for Reformulation of Results Statements**

Formulation in CEO endorsement	Formulation for reconstructed ToC at evaluation	Justification for reformulation
Objective: To establish a global CBIT coordination platform to support the implementation of the Paris Agreement	Impact: Enhanced understanding and capacity of countries to implement the transparency framework of the Paris Agreement.	The original objective was not phrased as an impact/outcome. The platform itself is an output, which in turn leads to the three outcomes. It is thus at a lower level, not at a higher level, than the outcomes.
Outcome 1: Enhanced coordination and best-practice sharing for transparency practitioners and donors through the establishment of a web-based platform.	Outcome 1: Enhanced coordination and best practice sharing for transparency practitioners and donors.	Appropriate outcome for the project, but the “through the establishment of a web-based platform” part is deleted, since the web platform itself is an output.
Outcome 2: Information sharing enhanced through regional and global meetings	Outcome 2: Enhanced sharing of information among CBIT countries and international technical agencies.	Appropriate outcome for the project, but the “regional and global meetings” part is deleted, since the meetings are outputs. In a sense, there is some overlap between outcome 1 and 2 (“sharing”), but they fall under different components and were implemented by different agencies, hence both outcomes are kept.
Outcome 3: Needs and gaps identified for enhancing transparency systems and CBIT coordination	Outcome 3: Strategy/plan in place for post-project continuation of global coordination, sharing and information in relation to Paris Agreement transparency.	Original outcome 3 was not phrased as an outcome, but an output, and did not reflect the intention to prepare a concrete plan for the CBIT GCP Phase II.

Note: All three outcomes concern enhancing coordination and sharing of knowledge and could logically be combined in a single outcome. However, the structure with three outcomes is kept for practical reasons, given the project components were implemented by two different agencies and through different mechanisms (component 1 – web platform/UNEP, component 2 – events/UNDP, component 3 – project formulation process/UNDP).

**Figure 2: Reconstructed Theory of Change**



## V. EVALUATION FINDINGS

### A. Strategic Relevance

#### Alignment with UNFCCC, UNEP, UNDP and GEF Strategic Priorities

66. The project was fully anchored in Paris Agreement Article 13 on transparency, which created CBIT to improve reporting capacities of countries. The CEO Endorsement Request states: "The Transparency Coordination Platform is aligned with the UN Environment and UNDP's approach to the Agenda 2030 and the Mid-term strategy 2014-17. Specifically, the platform will contribute to the strategic focuses on climate change and environmental governance". Climate transparency was a new topic, so there was little experience and capacity and no methodological framework to build upon. CBIT GCP was thus launched to facilitate coordination and sharing of experiences and facilitating the access to new tools and methodologies.
67. With its focus on MRV and transparency, the project corresponded to the climate change and "environment under review" focus areas in UNEP's Medium Term Strategies for 2014-17 and 2018-21 and the associated Programmes of Work. It also supported the Bali Strategic Plan for Technology Support and Capacity Building, by contributing to the establishment of systems for reporting. Moreover, it contributed to enhanced South-South Cooperation through the provision of opportunities for networking and peer learning.
68. The project contributed to UNDP strategic plan output 1.4 Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented and to UNDP's regional programme outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded.
69. CBIT GCP also contributed to the GEF's climate change focal area.

#### Relevance to Regional, Sub-regional and National Priorities

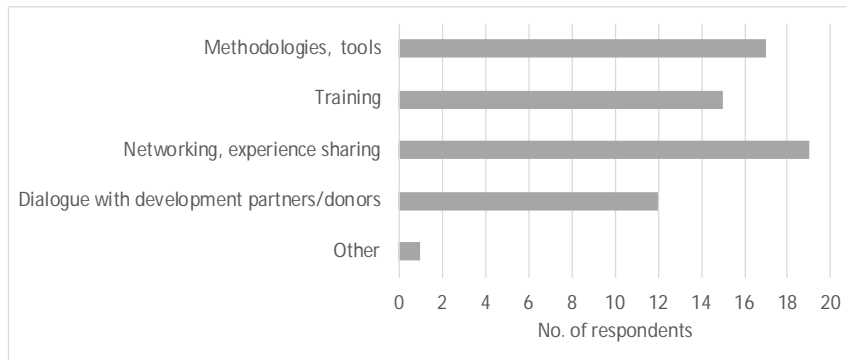
70. CBIT GCP was conceived as a mechanism for supporting and providing learning opportunities to countries with GEF-funded national CBIT projects and fostering coordination between technical agencies supporting CBIT implementation and climate change transparency. Participation was voluntary and national stakeholders (mainly CBIT focal points) could participate to the extent they found it is useful. Stakeholders were consulted during the first annual technical workshop in Copenhagen in 2017, which in practice served as an inception meeting. The PMU also maintained regular dialogue with stakeholders, including CBIT National Focal Points, throughout the implementation which enabled the PMU to gather information and feedback to inform the planning of activities and outputs, such as the planning of the annual technical workshop in Berlin in 2018. Interviews were carried out with CBIT National Focal Points as an input to the design of the online platform, especially the country project profiles/pages. A usability study of the online platform was run in 2018 with CBIT National Focal Points from four countries, and their feedback was incorporated. In the 2019, CBIT countries carried out self-assessments of their gaps and needs for support (a few countries carried it out in 2018), which in turn was used by CBIT GCP as an input to its planning, e.g. of the annual technical workshop in Rome in 2019.
71. Participating countries to a large extent found CBIT GCP relevant, in particular in terms of providing opportunities for networking and sharing of experiences, but also in terms of providing access to approaches, guidelines and tools, and training (see figure 3).

More than half of the respondents also found the opportunity for dialogue with technical agencies and donors useful.

72. Most countries found that CBIT GCP fully or partly addressed their needs and priorities (see figure 4). However, given the novelty of CBIT where most countries have only embarked on the implementation recently or are yet to begin implementation, it is plausible that the rate will go further up as countries become able to articulate and communicate their needs more precisely. A challenge to the relevance is the diversity of countries served and how far they are in setting up national transparency systems. Moreover, in some regions, there is a preference for regional networking due to the similarities among the countries in the region, whereas in other regions there is a high interest in learning mainly from other regions. One survey respondent suggested that the tools and materials should also be provided in French to facilitate their use by national stakeholders. Some interviewees had assisted some countries with translating contents from the material. The web platform relied on Google Translate. French- and Spanish-speaking staff from UNEP, UNDP and UNEP DTU would assist participant with language support during the annual technical workshops, and for group work, some groups were language-based.

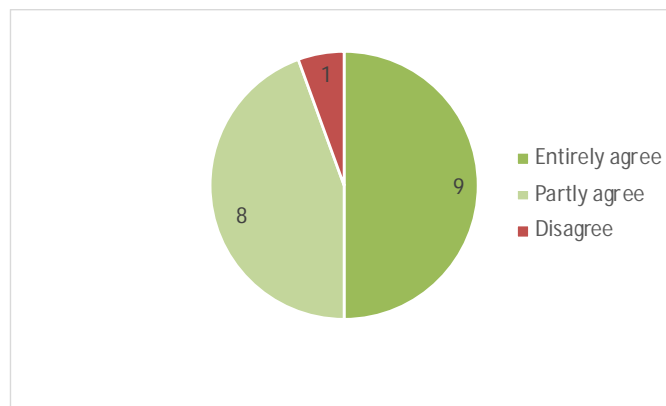
**Figure 3: Relevance of CBIT GCP for participating countries**

Survey question: What were the elements you found relevant for your work and CBIT in your country? (Number of respondents: 23 – one person per country)



**Figure 4: CBIT GCP relevance vis-à-vis country needs and priorities**

Survey question: Did CBIT GCP address key needs and priorities of your country vis-à-vis setting up an appropriate and functional transparency system? (Number of respondents: 23 – one person per country)



### Complementarity with Existing Interventions

73. Enhanced coordination between practitioners and donors was an explicitly stated outcome of CBIT GCP. The online platform contributed to coordination by providing an overview of the objectives and status each CBIT country project, which helped the technical agencies and donors supporting transparency to identify areas already covered and opportunities for engaging without overlapping with other efforts. Moreover, the online platform provided links to resources (e.g. reports and tools) prepared by other initiatives, and opportunities for them to participate in webinars with CBIT countries. The country self-assessments have also helped informing other agencies on gaps to be addressed. The Food and Agriculture Organisation (FAO) used CBIT GCP as a platform for communication for the FAO-GEF CBIT AFOLU project, e.g. FAO webinars were promoted through the CBIT GCP newsletter. FAO also provided suggestions for new elements on the online platform that would support CBIT work in the AFOLU (agriculture, forestry and other land use) sector, which UNEP DTU plans to implement in Phase 2. Moreover, FAO assisted the updating of country profiles on the web platform, and encouraged their partner countries to carry out the self-assessment. The UNFCCC Secretariat participated in the annual technical workshops and was represented in the PSC<sup>12</sup>, but was not engaged in the planning and delivery of CBIT GCP activities. Some international partners expressed an interest in being given an opportunity to comment on the draft agenda for the annual technical workshops, as well as a session where the international agencies could briefly present their projects, as well as an opportunity to provide feedback on the design of CBIT GCP phase 2.
74. At each annual technical workshop, a full day was dedicated to coordination and dialogue among international technical agencies and donors in engaged in supporting MRV and transparency processes in developing countries (Non-Annex I Parties), the informal "MRV Group of Friends" network. The technical workshops also provided opportunities for FAO CBIT AFOLU and GIZ PATPA staff to meet with representatives from countries they support as well as from other countries. Moreover, PATPA provided logistical support for the annual technical workshop in Berlin. The technical agencies and donors were also consulted in the development of the second phase of CBIT GCP. UNEP DTU sent out on a monthly basis list of CBIT countries and their implementation status to all GEF CBIT implementing agencies.
75. UNDP and UNEP DTU developed internal synergies between CBIT GCP and other projects. UNEP DTU's ICAT team provided technical inputs (e.g. reviewing the draft self-assessment tool), two webinars were held jointly with ICAT, and a couple of joint CBIT GCP-ICAT were made: 1) A roadmap for establishing information systems for climate action and support, and 2) Unfolding the reporting requirements for Developing Countries under the Paris Agreement's Enhanced Transparency Framework. In UNDP, CBIT GCP and GSP had the same management team and activities were closely linked, for example, CBIT GCP and GSP co-organised the three annual technical workshops, and the MVR Group of Friends was established through GSP. However, UNEP did not have an internal linkage between their CBIT GCP and GSP components.
76. CBIT GCP was a platform that targeted national CBIT projects and for coordination of support to these, as such, its activities thus centred on providing inputs that could help countries in implementing their CBIT projects. The national projects, in turn, have budget provisions for participation in international activities, such as the annual global technical meetings, but this was seemingly only used by a few countries for additional participants in the annual technical workshops, since many national CBIT projects had not started implementation, or were still in the process of recruiting project managers.

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<sup>12</sup> The UNFCCC Secretariat attended the second PSC meeting

**B. Quality of Project Design**

77. CBIT GCP was a global programme broadly targeting all CBIT countries, which worked only at the global level with a focus on improved coordination, tracking of national CBIT processes, provision of access to tools and networking and sharing of experiences and best practices. As such, it did not engage at the national level and has limited influence over the extent to which, the access to knowledge and capacities it helps develop are translated into tangible and strengthened CBIT implementation at the national level. Hence, the project did not directly deliver policy and institutional outcomes, let alone direct climate impacts, but rather contributed indirectly to enhanced effectiveness and efficiency of climate action by filling coordination and knowledge gaps.
78. The underlying analysis was clear, as was the problem and stakeholder identification. However, there was no information on the design process and participation of stakeholders in the process other than the participation in the 2017 annual technical workshop. Careful attention was paid to providing an input to strengthened gender mainstreaming in CBIT processes. The link to UNEP, UNDP and GEF strategies vis-à-vis climate change and environmental governance was briefly mentioned.
79. The implementation strategy was coherent and realistic with a causal link from outputs to outcomes clearly spelled out in the theory of change (ToC) and the results framework, albeit with some shortcomings (see chapter IV).
80. The project management setup was appropriate with clear roles for the implementing partners and stakeholders. The project was partly set up as two separate sub-projects, one for UNEP and another for UNDP, and this had an inherent risk of insufficient coordination and alignment of the components, but in practice, the coordination of the component worked well. The budget and time frame were adequate vis-à-vis the intended activities and outputs, not least seen in the light of the presence of a second phase, the latter also is an important part of the sustainability strategy of the project. The project also took advantage of cost-efficiencies and synergies through the implementation and coordination being carried out by the UNDP GSP project team and UNEP DTU, which were already engaged in related activities.
81. Being in essence a global platform for coordination, networking and knowledge management, the project had clear strategies for partnerships and cooperation, knowledge management, communication, and outreach. For example, the project engaged in the MRV Group of Friends network.
82. The table below presents an overview of the strengths and weaknesses of the project design.

**Table 8: Main strengths and weaknesses of project design**

	<b>Strengths</b>	<b>Weaknesses</b>
Context relevance	<ul style="list-style-type: none"> <li>• Clear underlying analysis</li> <li>• Clear problem identification</li> <li>• Clear stakeholder identification</li> <li>• Supportive of Paris Agreement</li> </ul>	<ul style="list-style-type: none"> <li>• No information on participation of stakeholders in the process</li> <li>• Link to UNEP, UNDP and GEF priorities not clearly spelled out</li> </ul>

	Strengths	Weaknesses
Results framework and ToC	<ul style="list-style-type: none"> <li>• Coherent and realistic implementation strategy</li> <li>• Clear causal link from outputs to outcomes</li> <li>• SMART indicators</li> <li>• Attention to promoting gender mainstreaming</li> </ul>	<ul style="list-style-type: none"> <li>• Impact not truly an impact but an output and at lower level than outcomes</li> <li>• Outcome 3 is an output, not an outcome</li> <li>• Indicators for the project objective and outcomes 2 and 3 are output indicators</li> </ul>
Risks and assumptions	<ul style="list-style-type: none"> <li>• Risks identified in a risk matrix</li> </ul>	<ul style="list-style-type: none"> <li>• No risks identified in ToC</li> <li>• Some assumptions not truly assumptions</li> <li>• Assumptions mainly output-related</li> </ul>
Management	<ul style="list-style-type: none"> <li>• Appropriate project management setup with clear roles</li> <li>• Adequate budget</li> <li>• Adequate time frame</li> <li>• Synergy with UNDP GSP and ICAT</li> </ul>	<ul style="list-style-type: none"> <li>• Set up as two separate projects (UNEP+UNDP)</li> </ul>
Partnership and outreach	<ul style="list-style-type: none"> <li>• Clear strategies for partnerships and cooperation</li> <li>• Clear strategies for knowledge management and communication</li> </ul>	

**Rating for Project Design:** **Satisfactory**

### C. Nature of the External Context

83. Overall, the external context at the global level was as anticipated at design and conducive for implementation of CBIT GCP, although a number of national CBIT projects faced start-up delays, and a large number of additional national projects were approved by the GEF during the implementation period. Most of the implementation had been completed prior to the COVID-19 pandemic.

**Rating for Nature of the External Context:** **Favourable**

### D. Effectiveness

#### Availability of Outputs

84. All the envisaged activities were completed, and all outputs were delivered. All targets associated with the outputs were exceeded<sup>13</sup>, including the number of CBIT countries using the online platform, number of partners using CBIT GCP tools (in particular the self-assessment tool), number of workshops/events and number of participants in workshops (see table 9).
85. The different services provided by CBIT GCP were found useful by a significant majority of CBIT countries, in particular the workshops and webinars, which provided opportunities to share, and learn from, experiences from different countries (see figure 5). Interviewed CBIT National Focal Points also found the self-assessment tool useful for the planning, monitoring and implementation of their CBIT projects. A user survey conducted by CBIT GCP at the annual technical workshop in Rome (2019) showed a

<sup>13</sup> The targets were labelled in the results framework as objective and outcomes targets, but most were in practice targets for specific outputs.

good degree of satisfaction among users in terms of the utility of the contents and ease of use of the online platform across a variety of parameters. 48 percent mainly used the platform for checking information about CBIT national projects, 32 percent to find tools and methods and 20 percent for enhancing partnerships.

86. The web platform was well visited, not least when considering the technical nature and quite narrow/specific audience of the subject matter. However, a possible concern is that the proportion of unique visits from CBIT countries was fairly low (see table 10). Similarly, 47-65 percent of the webinar participants came from Europe and North America, with lower levels of participation from the Global South, in particular from Asia (see table 11). The number of government participants remained at a fairly low overall number, despite a significant increase in participants in the last two webinars in 2019 and an increase in the number of CBIT countries. Hence, while the web platform has been a useful resource for CBIT National Focal Points, the online format appears more effective for reaching international agencies, programmes and donors and contributing to ensuring coordination and enriching the support they provide, than directly reaching the end-users. One reason for this is the connectivity limitations that still exist in a number of countries. Moreover, the web platform also served as a communication and outreach channel for other initiatives, their upcoming events were announced, and links were provided in the library section to their publications and tools. The overall numbers of downloads appear to live up to what one could expect, with the exception of the low number of downloads of the guidance for CBIT National Focal Points, as this had been emailed directly to CBIT National Focal Points. (see table 12).
87. There was a good participation of CBIT countries (33-41 countries) in the annual technical workshops, (see table 13), and this could well increase significantly in the future (currently, there are 69 CBIT countries). However, there was also a large representation of international technical agencies and donors at the workshops; indeed, they outnumbered the CBIT country representatives in 2017 and 2019 workshops. The reasons for this appear to be: a) CBIT countries often depended on project/donor funding for travel, and b) the workshops were held in Europe and thus within easy reach for most of the international partners. However, it also demonstrates the agencies' and donors' interest in coordination and also the unique opportunity to network with several countries in one location. In each workshop, one day was dedicated to coordination and discussions for international partners, the informal MRV Group of Friends network.

**Table 9: Achievement of outputs**

Outputs	Status at project completion
<p><b>1.1 A web-based coordination platform on transparency designed and operational</b></p>	<ul style="list-style-type: none"> <li>• The website is fully operational, and content is maintained and updated. Main contents:               <ul style="list-style-type: none"> <li>○ CBIT national project profiles and self-assessments</li> <li>○ Library with technical resources</li> <li>○ CBIT GCP-ICAT joint publications</li> <li>○ Perspectives/CBIT project cases</li> <li>○ Webinars and recordings of previous webinars</li> <li>○ Presentations from annual technical workshops</li> </ul> </li> <li>• There are areas that DTU would like to further expand or improve (backlog), once further financial resources become available</li> <li>• Target: 40 partners using the platform's services every quarter (in average) when developing/strengthening their national transparency systems.               <p><b>Target exceeded:</b></p> <ul style="list-style-type: none"> <li>○ In 2019, the online platform on average had 484 unique visits per month from approx. 80 countries.</li> <li>○ The online platform had 127 registered users from 48 countries, 11</li> </ul> </li> </ul>



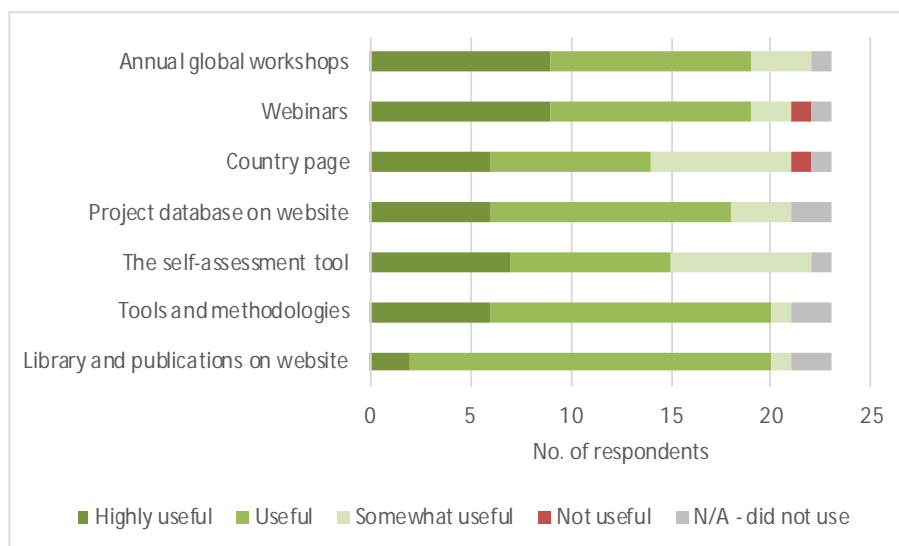
	<p>agencies, 11 independent practitioners (end 2019)</p> <ul style="list-style-type: none"> <li>○ 83.3% of 30 countries used the platform to strengthen their transparency systems, in particular by checking information about other CBIT projects and looking for methodologies and tools (CBIT GCP survey, May 2019)</li> </ul>
<p><b>1.2 Self-assessment tool for Countries to assess the state of their national transparency systems developed and deployed</b></p>	<ul style="list-style-type: none"> <li>• Target: 40 partners using methodologies/tools listed on the platform <b>Target exceeded:</b> <ul style="list-style-type: none"> <li>○ 44<sup>14</sup> countries used the self-assessment tool, results available on web platform country pages – a global analysis of results was presented in the annual technical workshop in Rome (December 2019)</li> </ul> </li> <li>• Countries were required to complete the self-assessment to participate the annual technical workshop in Rome. Countries will be requested to fill the self-assessment within three months of the CEO approval of CBIT GCP phase 2 in order to create a baseline, and prior to each future annual technical meeting.</li> <li>• The self-assessment tool is openly available to be downloaded from the web platform</li> </ul>
<p><b>1.3 Platform interface for self-progress reporting by national CBIT projects and other transparency initiatives designed</b></p>	<ul style="list-style-type: none"> <li>• The interface for self-progress reporting on the web platform by national CBIT project is fully operational.</li> <li>• 61 CBIT national projects had profiles and designated focal points (37% women and 63% men) on their country pages on the web platform (early 2020)</li> <li>• In addition, information on other transparency initiatives can be provided directly by countries.</li> </ul>
<p><b>1.4 Coordination platform populated with data and information on transparency initiatives, CBIT national projects and country efforts</b></p>	<ul style="list-style-type: none"> <li>• Country profiles completed by UNEP DTU</li> <li>• Country focal points were asked to update all information in addition to self-assessment and reporting output implementation progress on their country pages on the web platform.</li> <li>• All countries populated their country pages.</li> </ul>
<p><b>1.5 Available transparency-related emerging practices, methodologies, and guidance collected and made available through the coordination platform</b></p>	<ul style="list-style-type: none"> <li>• Target: 40 partners using methodologies/tools listed on the platform <b>Target exceeded:</b> <ul style="list-style-type: none"> <li>○ At least 9 countries used ICAT methodologies.</li> <li>○ 6 webinars were held during the project: 1 in 2018, 5 in 2019 – 30 attendees per webinar (average), 50.3% women, 47.7% men</li> <li>○ 44 countries had completed the self-assessment (December 2019)</li> </ul> </li> <li>• 5 additional webinars were held after program completion (2020)</li> <li>• 2 CBIT GCP-ICAT joint publications</li> <li>• 4 perspectives/CBIT project cases</li> <li>• Library with link to 80 technical resources: literature, methodologies, guidance – focused on the Enhanced Transparency Framework</li> </ul>
<p><b>2.1 Coordination platform launched in kick-off event</b></p>	<ul style="list-style-type: none"> <li>• Kick-off event (1<sup>st</sup> annual technical meeting) in Copenhagen (2017)</li> <li>• 76 participants, incl. representatives from developing and developed countries, international organisations and institutions engaged in Enhanced Transparency Framework</li> </ul>
<p><b>2.2 Three technical workshops on transparency organized and executed</b></p>	<ul style="list-style-type: none"> <li>• Target: 3 regional and global meetings held <b>Target exceeded:</b> <ul style="list-style-type: none"> <li>○ 3 annual technical workshops (Copenhagen 2017, Berlin 2018, Rome 2019)</li> <li>○ 4 side-events: COP 23 (Bonn 2017), COP 25 (Madrid 2019), Bonn Climate Change Conference SB 46 (2017) Bonn Climate Change Conference (2019)</li> </ul> </li> <li>• Target: 60 attendees per event</li> </ul>

<sup>14</sup> Antigua & Barbuda, Argentina, Azerbaijan, Belize, Bosnia-Herzegovina, Burkina Faso, Cambodia, Chile, Colombia, Costa Rica, Cote d'Ivoire, Cuba, Dominican Republic, Eswatini, Ethiopia, Georgia, Ghana, Honduras, Jamaica, Kenya, Lao PDR, Lebanon, Lesotho, Liberia, Madagascar, Maldives, Mexico, Mongolia, Montenegro, Morocco, Mozambique, Nicaragua, North Macedonia, Panama, Papua New Guinea, Peru, Rwanda, Serbia, Sierra Leone, South Africa, Sri Lanka, Togo, Uganda, Uruguay

	<p><b>Target exceeded:</b></p> <ul style="list-style-type: none"> <li>85 attendants per annual technical workshop (average), 40% women, 60% men</li> </ul>
<p><b>3.1 Needs &amp; gaps identified for enhancing transparency systems and CBIT coordination</b></p>	<ul style="list-style-type: none"> <li>Target: 40 countries have completed needs and gaps identification using the self-assessment tool</li> </ul> <p><b>Target exceeded:</b></p> <ul style="list-style-type: none"> <li>Self-assessments completed by 44 countries (December 2019)</li> </ul> <ul style="list-style-type: none"> <li>Target: 3 knowledge products (e.g. reports, briefings, webinars)</li> </ul> <p><b>Target exceeded:</b></p> <ul style="list-style-type: none"> <li>40 analyses of national self-assessments</li> <li>Global analysis of the self-assessments presented in annual technical workshop (Rome, 2019)</li> <li>Needs and gap identification for the implementation of the Enhanced Transparency Framework</li> <li>Presentation of insights from self-assessments at PATPA annual partnership retreat (2019)</li> </ul>
<p><b>3.2 Roadmap for Phase 2 to expand the CBIT coordination platform as per the scope of paragraph 21 of the CBIT programming paper</b></p>	<ul style="list-style-type: none"> <li>Roadmap for CBIT GCP phase was developed</li> <li>A project proposal for CBIT GCP phase 2 (GEF ID 10128) was approved by the GEF in October 2018</li> <li>A second PIF for phase 2 was approved by the GEF (GEF ID 10088) in November 2019</li> <li>A CEO Endorsement request was submitted to the GEF in 2019, endorsement is anticipated in late 2020</li> </ul>

**Figure 5: Utility of CBIT GCP services**

Survey question: How useful/relevant would you rate the following CBIT GCP services/products?  
(Number of respondents: 23 – one person per country)



**Table 10: Use of web platform**

Pages	Number of unique views (1 May 2018 – 31 Dec 2019)	Unique views from Non-Annex I Parties (1 May 2018 – 31 Dec 2019)	Percentage from Non-Annex I Parties (1 May 2018 – 31 Dec 2019)	Number of Non-Annex I Parties (1 May 2018 – 31 Dec 2019)
National project pages/profiles	2501	582	23%	89
Library	752	171	23%	73

Events (webinars, workshops, upcoming events)	1098	288	26%	69
Webinars	427	171	40%	67
CBIT workshops	746	242	32%	84
Downloads	1740	712	41%	70

**Table 11: Webinar attendance**

Event	Number of attendants	Region of attendants	Affiliation of attendants
Webinar 1: How to increase capacities in developing countries to support long-term climate strategies? (2018)	30 (15 women, 15 men)	8 Africa 1 Asia 7 Latin America and Caribbean 9 Europe 5 North America	13 Government 5 NGO 2 Private sector 10 Other
Webinar 2: How to use and benefit from CBIT Global Coordination Platform (2019)	17 (12 women, 5 men)	1 Asia 7 Latin America and Caribbean 9 Europe 0 North America	13 Government 2 Academia 4 Other
Webinar 3: Early lessons learned from CBIT project implementation - Chile and Uruguay (2018)	21 (7 women, 14 men)	5 Africa 2 Asia 3 Latin America and Caribbean 10 Europe 1 North America	9 Government 2 Academia 2 NGO 7 Other
Webinar 4: Lessons learned and good practices from CBIT project implementation in Kenya (2018)	17 (8 women, 22 men)	6 Africa 10 Europe 0 North America	2 Government 2 Academia 8 NGO 1 Private sector 6 Other
Webinar 5: Introduction to the Enhanced Transparency Framework (2018)	54 (26 women, 28 men)	5 Africa 7 Asia 7 Latin America and Caribbean 29 Europe 6 North America	10 Government 10 Academia 10 NGO 9 Private sector 15 Other
Webinar 6: Reporting requirements under the Enhanced Transparency Framework (2018)	38 (22 women, 16 men)	7 Africa 4 Asia 3 Latin America and Caribbean 17 Europe 7 North America	4 Government 7 Academia 7 NGO 7 Private sector 13 Other

**Table 12: Downloads of resources**

Resources	Number of downloads (1 May 2018 – 25 Apr 2020)
Events: webinars, workshop documents	73
Guidance for National Focal Points	11
Country project profiles	66
Publication: A roadmap for establishing information systems...	108
Publication: Unfolding the reporting requirements for Developing Countries...	56
Self-assessment tool	52

Snapshots	37
Workshop presentations etc (average 26 downloads per document, total 74)	1979

**Table 13: Annual technical workshop attendance**

Annual technical workshop	Number of attendants	Number of attendants from CBIT countries	CBIT country percentage
Copenhagen, 2017	78	33	42%
Berlin, 2018	60	40	67%
Rome, 2019	103	41	40%

**Rating for Availability of Outputs: Highly satisfactory**

### Achievement of Project Outcomes

88. **Outcome 1:** Enhanced coordination and best practice sharing for transparency practitioners and donors<sup>15</sup>. As described above, CBIT countries appreciated the various services and opportunities for sharing provided by the online platform. By the end of 2019, CBIT GCP reported that “at least 9 countries had used ICAT methodologies”. This seemingly modest outcome at project completion reflected that the CBIT process is new with most CBIT countries having embarked on implementation recently or not yet, so the need for tools is still nascent. Indeed, more recent data suggests that a significant proportion of the CBIT countries use the resources on the web platform in their work, in particular information and knowledge obtained from webinars and country project pages (see figure 6). As described above, international technical and donor partners used the online platform to an even greater extent than the CBIT countries. Interviewees report that the online platform was particularly useful for obtaining information from the country profile pages and self-assessment about the implementation status, needs and gaps of the various countries – also as inspiration for the development of new CBIT proposals. Some non-CBIT countries have also used the self-assessment tool according to interviewees from international agencies. However, some countries had to be supported by UNDP/UNEP in filling the self-assessment, which some judge being overly lengthy. Moreover, keeping the country profiles up to date proved a challenge for some countries, due to the heavy workload of the CBIT National Focal Points. The access to tools and knowledge from global programmes were found useful by most countries, although one interviewee found the material too generic for the interviewee’s country. The annual technical workshops also contributed to coordination through the day dedicated for international partners and the MRV Group of Friends. Overall, outcome 1 was achieved with a fully functional and regularly updated web platform, which was used by the target audience.
89. **Outcome 2:** Enhanced sharing of information. As described above, there was a good degree of participation from both CBIT countries and international partners, where information and experiences were shared. A large proportion of the participating CBIT country representatives found the experiences from other countries useful and applied the learnings in their work on national transparency systems (see figure 7), although an interviewee from a country in an advanced stage of CBIT implementation found that there was little to learn from the other countries. CBIT National Focal Points that were interviewed also found it useful to interact with international partners, as well as to learn from technical experts’ presentations. Similarly, international partners found it helpful to

<sup>15</sup> The outcomes are derived from the reconstructed ToC (chapter IV)

learn from other agencies and to interact with both countries they themselves support and other countries, as well as to use the workshops to create increased awareness of their own initiatives. Overall, both CBIT countries and international partners express satisfaction with the workshop contents, format and facilitation. Outcome 2 was achieved, and there is a likelihood of further enhanced sharing as the implementation of CBIT national projects pick up and more experience and lessons are obtained.

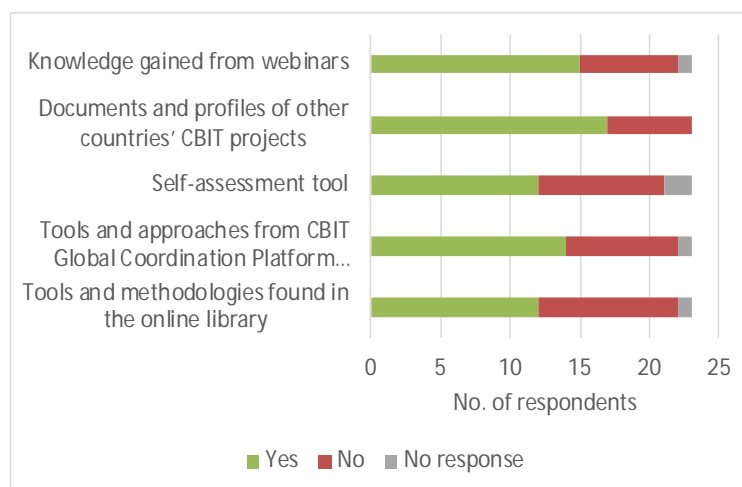
90. **Outcome 3:** Strategy/plan in place for post-project continuation of global coordination, sharing and information in relation to Paris Agreement transparency. Outcome 3 was achieved with CBIT GCP phase 2 having been formulated and moving forward on the UNEP, UNDP and the GEF approval processes. The completed phase 2 roadmap is the strategy and plan for the continuation of global sharing. It builds on the analysis of the national self-assessments and gaps and needs analysis carried out. The roadmap and proposed setup fully take into consideration the recommendations of the 2018 GSP mid-term evaluation and provide a coherent strategy for merging CBIT GCP and GSP.
91. Both the web platform and the annual technical workshops contributed to the establishment of a community of practice. However, the extent to which the participation translated into tangible partnerships for the CBIT countries appears to have been modest, with only five of 30 countries reporting to have used the web platform to enhance partnerships<sup>16</sup>. This reflects that the need for partnerships is still nascent, since the implementation of CBIT national projects is only starting up. Similarly, the community of practice is nascent, except where countries already are part of mature regional networks with similar topical focus, such as the GSP-supported RedINGEI network in Latin America. The actual application of the resources and knowledge provided is at the volition of the participants and CBIT GCP has no direct influence on the actual uptake. A challenge for CBIT GCP was to speak to the needs of a large and diverse group of CBIT countries, which are at different stages of CBIT implementation. As the number of CBIT countries grows and countries move forward at different paces, this challenge is likely to further increase.
92. For the international partners, interaction, coordination and partnering appears to have moved further than for the CBIT countries. The four primary GEF implementing agencies (UNEP, UNDP, FAO, Conservation International) for CBIT projects have interacted in and outside the annual technical workshops. Interaction was also facilitated between ICAT (UNEP DTU), PATPA (GIZ), GIZ, the European Commission, the Government of Canada, the Environmental Protection Agency of Sweden. However, stakeholders find that the coordination vis-à-vis transparency and MRV is still limited mainly to information sharing rather than coordinated action and division of labour. Overall, the target of ten entities and institutions using the platform to enhance partnerships appears to have been exceeded. One interviewee reported that the discussions at an annual technical workshop have helped them to avoid duplication of effort in one country, and workshop participation had also enabled the agency to become aware of technical experts/consultants they later engaged.
93. Overall, the assumptions and drivers were valid, and none of the potential risks affected implementation and the delivery of the expected results of CBIT GCP phase 1, see Table 14 for a detailed assessment of their status.

#### Figure 6: Use of CBIT GCP resources in national transparency systems

Survey question: Have you used any of the resources on the CBIT GCP website in your work on your national transparency system? (Number of respondents: 23 – one person per country)

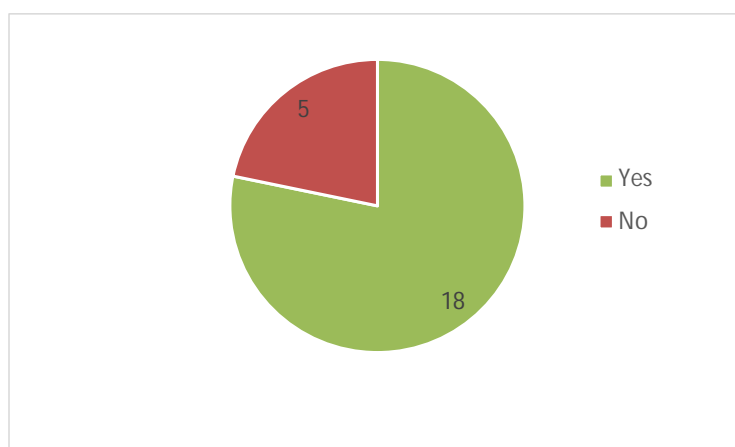
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<sup>16</sup> CBIT GCP survey, May 2019



**Figure 7: Use of workshop learning from other countries**

Survey question: Did you use knowledge obtained from CBIT GCP in your work on your national transparency system? (Number of respondents: 23 – one person per country)



**Table 14: Status of assumptions, drivers and risks**

Assumptions/drivers/risks		Assessment	Status
Assumptions	Inputs generated under MRV and CBIT projects are reported in government documents	Too early to assess	Unclear
	The platform will be gradually used by an increasing number of countries	The number of government participants engaged in webinars declined over time The number of CBIT countries participating in annual workshops increased moderately	Partly valid
	There is a substantial need for knowledge sharing and coordination for the implementation of the new transparency framework under the Paris Agreement	Countries and international agencies and donors had a strong interest, in particular in experience sharing	Valid

	Governments use the platform services and provide information to keep the website up to date	Country information generally up to date, but mainly as a result of proactive promotion by the PMU rather than being a priority for the countries themselves	Partly valid
	Countries share their success stories	Countries have readily shared experiences, particularly at webinars and workshops	Valid
	UNFCCC co-host the platform and archive all BURs and National Communications on the website	UNFCCC Sec has participated in workshops and archives BURs and NCs on UNFCCC website CBIT GCP was provided space for side events	Valid
	Countries fill out needs and gaps assessments	All countries completed self-assessment, since it was a requirement for annual workshop participation, otherwise it would most likely not have happened	Partly valid
	Needs and gap assessments provide information of sufficient quality for the production of knowledge products	Self-assessment proved useful for GCP CBIT planning, implementing partners and CBIT countries	Valid
Drivers	Successful kick-off meeting and technical workshop	Kick-off meeting implemented as planned and countries and agencies subsequently engaged in CBIT GCP	Valid
	The assessment tool is well designed	The self-assessment tool was well-received and found useful by countries and agencies	Valid
Risks	The platform is not perceived as being relevant by the users	Stakeholders found the platform relevant and useful	Did not materialise
	The initial population of the platform is too limited to attract interest by transparency practitioners	The level of participation was satisfactory	Did not materialise
	The baseline assessment is not completed by many/most countries	The 2019 self-assessment was the only assessment carried out, towards the end of CBIT GCP rather than at baseline	Did not materialise
	The kick-off event fails to attract sufficient high-level decision makers and practitioners	Annual workshops had a sufficient and growing number of participants, incl. a good proportion of CBIT countries, international agencies and donors	Did not materialise
	Workshops fail to attract sufficient high-level decision makers and practitioners		Did not materialise

**Rating for Achievement of Project Outcomes:** **Highly satisfactory**

### Likelihood of Impact

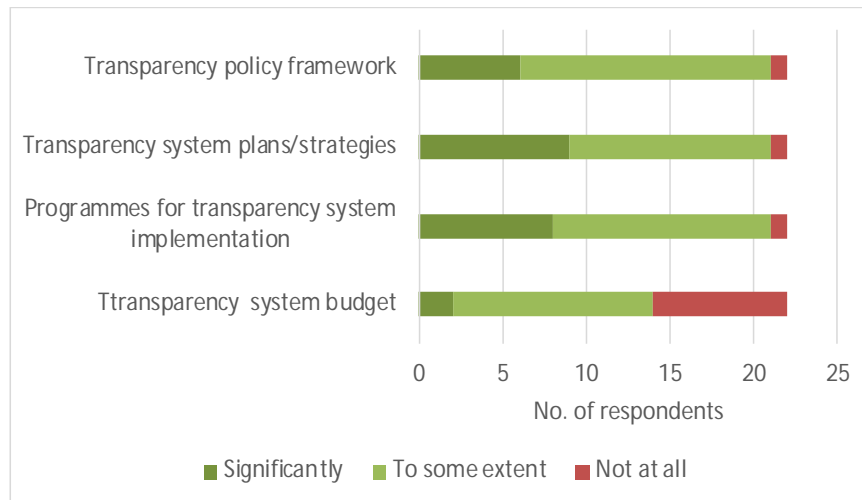
94. **Objective/impact:** Enhanced understanding and capacity of countries to implement the transparency framework of the Paris Agreement<sup>17</sup>. The actual application of the resources and knowledge provided was entirely at the volition of the participants, over which CBIT GCP itself had little direct influence. Moreover, CBIT was a new concept and most CBIT countries have not yet, or only recently, embarked on CBIT implementation. Nonetheless, a significant number of CBIT countries already report that CBIT GCP has

<sup>17</sup> The impact is derived from the reconstructed ToC (chapter IV)

made a positive contribution to the policy frameworks, plans/strategies and implementation of national transparency systems and to a lesser extent to influencing budget allocations for national transparency frameworks (see figure 8). All countries responding to the survey found that CBIT GCP had contributed to improving/strengthening of the national transparency system processes and half of the countries found the contribution significant (see figure 9). Overall, CBIT GCP is thus likely to have a positive impact on climate transparency in the CBIT countries.

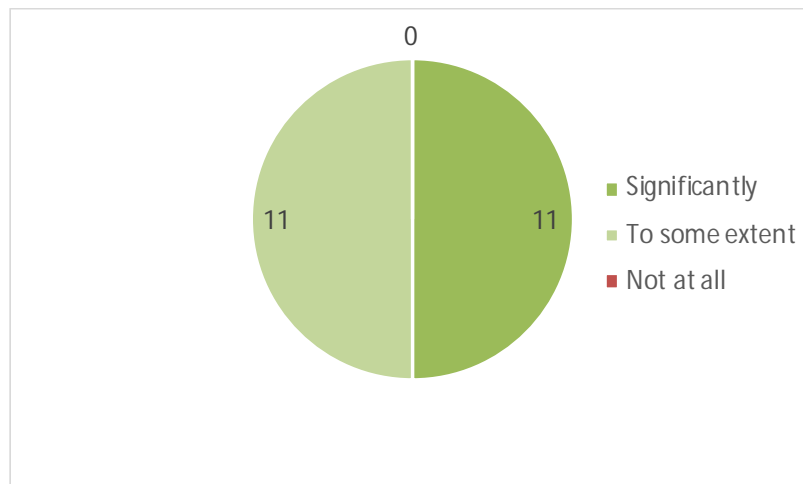
**Figure 8: CBIT GCP contribution to key elements of national transparency systems**

Survey question: To what extent has your participation in CBIT GCP activities contributed to improving/strengthening the following elements of your national transparency system? (Number of respondents: 22 – one person per country)



**Figure 9: Overall significance of CBIT GCP contribution to national transparency processes**

Survey question: To what extent did CBIT GCP complement or reinforce your work on a national transparency system or MRV processes? (Number of respondents: 22 – one person per country)



**Rating for Likelihood of Impact: Likely**

**Rating for Effectiveness: Highly satisfactory**



## E. Financial Management

### Adherence to UNEP's Financial Policies and Procedures

95. CBIT GCP was executed by UNDP and UNEP DTU and as such followed the respective procedures of the two agencies. In the case of UNEP DTU, this was done in accordance with the long-term agreement between UNEP and DTU. Funds were made available in a timely manner for covering implementation costs.
96. A six months no-cost extension was requested and approved, in order to cover the expected gap period between phase 1 and 2, and also to align better with the timeline of the CBIT national projects, since the start of many of these had been delayed considerably.
97. A minor reallocation was made from component 3 to component 2 (see table 5), the spending on component 2 was 106 percent of the budgeted allocation, whereas it was 91 percent for component 3, i.e. below the 10 percent threshold for requiring approval from the GEF. However, since component 3 essentially was the formulation of CBIT GCP phase 2, this reallocation meant an increased allocation for coordination, sharing and capacity development. Within each component some minor budget deviations were experienced and reallocations were made between activities.

### Completeness of Financial Information

98. The financial information available is complete and extracted from the financial systems of UNEP (Umoja) and UNDP (ATLAS). DTU provided audited overall annual financial statements to UNEP, as per their cooperation agreement, as well as a statement confirming the in-kind co-financing contribution from ICAT. The cash co-financing from the Government of Italy is recorded in the ATLAS financial statements for the project.

### Communication Between Finance and Project Management Staff

99. The communication between the PMU and EMG teams at UNEP, UNDP and UNEP DTU and the financial staff at UNEP and UNDP and the financial guidance provided to the PMU worked well, and no issues were found.
100. Table 15 provides a detailed assessment of the financial management.

**Table 15: Financial management table**

Financial management components		Rating	Evidence/Comments
<b>1. Adherence to UNEP's/GEF's policies and procedures:</b>		<b>HS</b>	
	Any evidence that indicates shortcomings in the project's adherence to UNEP or donor policies, procedures or rules	No	
<b>2. Completeness of project financial information:</b>			
	Provision of key documents to the evaluator (based on the responses to A-H below)	<b>HS</b>	
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	By budget line, component, year.
B.	Revisions to the budget	Yes	
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	
D.	Proof of fund transfers	Yes	
E.	Proof of co-financing (cash and in-kind)	Yes	
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	By budget line and component. For component 1 by year and quarter.

G.	Copies of any completed audits and management responses (where applicable)	Yes	Overall financial statements and auditor's opinion for UNEP DTU
H.	Any other financial information that was required for this project (list):	N/A	
<b>3. Communication between finance and project management staff</b>		HS	
	Project Manager and/or Task Manager's level of awareness of the project's financial status.	HS	As per interviews with UNEP, UNDP and UNEP DTU staff
	Fund Management Officer's knowledge of project progress/status when disbursements are done.	HS	
	Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.	HS	
	Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.	HS	
	Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process	HS	
<b>Overall rating</b>		<b>HS</b>	

**Rating for Financial Management: Highly satisfactory**

## F. Efficiency

101. Component 1 was fully implemented by the project closing date. However, a few elements were implemented later than envisaged, such as the baseline assessment/first self-assessment, which was delivered in the last year of CBIT GCP phase 1. This was due to the delays many countries experienced in the start-up of their CBIT national project. Thus, the postponement did not relate to internal efficiency issues, but rather to adapting to the context and implementing activities, when the CBIT countries were ready for them.
102. Component 2 was overall implemented according to plan with a global technical workshop each year and side events in connection with important UNFCCC meetings. Similarly, component 3 was overall implemented in a timely manner with the delivery of the overall design of Phase 2.
103. The no-cost extension was fully justified, as it related to aligning with the readiness of the CBIT countries as well as bridging the gap between phase 1 and phase 2 to ensure continuity and avoid a hiatus or disruptions. The minor fund reallocations related to the extension did not significantly affect the resources available for the components or the delivery of the planned activities.
104. As written in above, UNEP DTU and UNDP mobilised existing programmes (ICAT, UNDP's component of GSP) in the delivery CBIT GCP, leveraged co-financing (ICAT, Governments of Germany and Italy), and engaged in partnerships with other initiatives (e.g. PATPA, FAO) and thereby created synergies and mutual benefits.
105. **Carbon footprint:** the two main sources of greenhouse gas emissions related to the project were a) air travel of workshop participants, the PMU and the EMG, and b) energy consumption related to online activity, with a) being the larger of the two. CBIT GCP was designed to comprise a mix of virtual and face-to-face engagement to facilitate coordination, sharing and the development of a community of practice. As such, there was limited scope for reducing emissions; the balance between face-to-face and virtual meetings could potentially have been adjusted, but this would likely have had a negative effect on the engagement of CBIT countries. Nonetheless, some carbon savings were

made when planning meeting dates and locations, e.g. with meetings held back-to-back with UNFCCC meetings in Bonn.

**Rating for Efficiency: Satisfactory**

## **G. Monitoring and Reporting**

### **Monitoring Design and Budgeting**

106. The monitoring plan mainly described the terminal evaluation and progress reporting with little information on how monitoring and data collection would be carried out, but the results framework provided applicable means of verification for each indicator. The budget had provisions for the terminal evaluation, but no allocations for monitoring, however, the indicators were of a nature that did not require a budget for monitoring. Monitoring was part of the project managers' tasks.
107. Indicators were only defined at objective and outcome level but for the objective and outcomes 2 and 3, they were de-facto output indicators, rather than impact/outcome indicators, as they did not measure change. The indicators were SMART (specific, measurable, achievable, relevant, time-bound) and all indicators were quantitative in nature. A baseline figure of "0" was indicated for each indicator, which is unsurprising, given that CBIT was a new process. No milestones or mid-term targets were defined, but targets for completion were specified, and gender-disaggregated when appropriate. But the work plan presented a clear timeline for the deliverables.

**Rating for Monitoring Design and Budgeting: Moderately satisfactory**

### **Monitoring of Project Implementation**

108. All indicators were reported on in the annual PIRs (project implementation review reports) and final report. The reporting on the indicators related to webinars and workshops was gender disaggregated. In addition to the indicator monitoring, UNEP DTU did an online survey on stakeholder views on the web platform and collected data on the web platform use. There is little evidence of the monitoring of indicators being used (or useful for) adaptive management because they were mainly concerned with outputs and their quality, relevance and utility, but did not look at measuring change. However, discussions with stakeholders informed the planning of activities, as did the self-assessment towards the end of phase 1. Risks were assessed and reported on in the PIRs and half-yearly progress reports.

**Rating for Monitoring of Project Implementation: Moderately satisfactory**

### **Project Reporting**

109. The following progress reports were prepared and submitted by the PMU: quarterly financial reports, half-yearly progress report, annual PIRs, final report. The reporting adequately captured progress on activities and outputs, changes made, lessons, cross-cutting issues (including gender) and risks, as per the standard PIR format. However, less information was provided on the added value and how the project contributed to strengthening CBIT national projects. The PIR and half-yearly reporting process was used as an occasion to discuss and reflect on implementation progress, gaps and needs for changes.

**Rating for Project Reporting: Satisfactory**

**Rating for Monitoring and Reporting: Satisfactory**

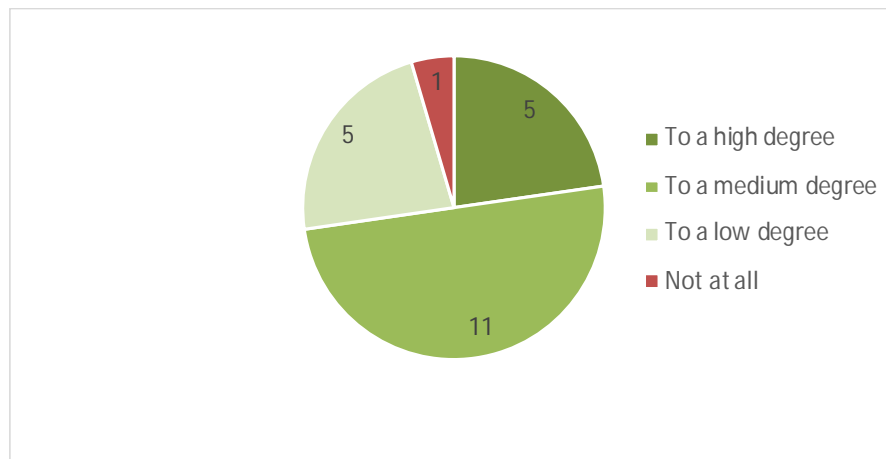
## H. Sustainability

### Socio-political Sustainability

110. At the global level, there is continued commitment to UNFCCC and the Paris Agreement, but the extent to which this translates in to firm commitments varies. The continued use by countries of the tools and methodologies provided and skills imparted are beyond the means of the project to ensure on its own, although CBIT GCP according to National Focal Points has made a contribution to improving government ownership of national transparency systems (see figure 10). The CBIT National Focal Points have demonstrated an interest in the networking and sharing opportunities provided by CBIT GCP, but such opportunities in the future would still require continued facilitation and support by international agencies.

**Figure 10: CBIT GCP influence on government ownership of transparency systems**

Survey question: To what extent has the CBIT Global Coordination Platform improved the government's ownership and commitment to implementing a national transparency system in your country? (Number of respondents: 22 – one person per country)



**Rating for Socio-political Sustainability: Moderately likely**

### Financial Sustainability

111. Continuation of the platform services and continued networking and sharing cannot be expected to become self-financing, considering the major budgetary constraints that developing country governments face. Hence, the continuation would entirely depend on continued donor financing. CBIT GCP phase 2 has been formulated and has moved forward in the UNEP, UNDP and the GEF approval processes. While final approval is still pending, the GEF is committed to provide funding and the PIF (project identification form) was approved in 2018. The anticipated budget for CBIT Phase 2A is USD 2 million, twice the budget of Phase 1 and the CEO Endorsement Request briefly describes options for upscaling the functions of the platform. Moreover, the second phase will comprise two sub-phases, and in the second sub-phase (CBIT GCP 2B), CBIT GCP will be merged with the next phase of GSP into a single project with a budget of USD 6.5 million.

**Rating for Financial Sustainability: Likely**

### **Institutional Sustainability**

112. The continuation of CBIT GCP services and global coordination and sharing depends on the facilitation from an international entity; this is not something that can be continued in a systematic manner by national governments. UNEP, UNDP and UNEP DTU are committed to continue with the implementation. UNEP DTU reportedly has a history of maintaining online platforms after project completion.
113. It is planned to establish a single joint UNDP-UNEP/UNEP DTU project management unit which covers both CBIT GCP and GSP. The planned merger into a single PMU for both agencies is in line with the 2018 mid-term review of GSP, which recommended to “Change the project management setup to ensure that the project becomes a joint effort by UNDP and UN Environment and fully capitalises on potential synergies and the comparative strengths of both agencies”, and suggested to establish a) a joint UNDP-UNEP GSP Team with staff from both agencies, co-managing both budgets and based in the same location and b) single joint inter-agency GSP-CBIT GCP team. GSP focuses on supporting MRV processes and the preparation of National Communications and Biennial Update Reports to the UNFCCC, so thematically, the two projects are closely related, since CBIT aims at improving the quality of national reporting to UNFCCC. A possible location under consideration for the joint PMU is UN City in Copenhagen, where UNEP-DTU is located and UNDP already has an office.
114. For UNDP, the merger with GSP does not constitute a change, since both projects have the same management team and are co-implemented in an integrated manner, but for UNEP, this is a significant change, since UNEP’s part of GSP is currently executed out of Nairobi by the Energy Unit of the UNEP Economy Division. Currently, the plan is that UNEP provides a part-time project director and UNDP provides a full-time project coordinator. However, there are currently no provisions for ensuring that UNEP’s in-house technical expertise and experience vis-à-vis GSP is integrated into the setup.

**Rating for Institutional Sustainability: Likely**

**Rating for Sustainability: Moderately Likely**

### **I. Factors Affecting Performance and Cross-Cutting Issues**

115. **Preparation and readiness:** CBIT GCP was implemented by already established teams comprising in-house staff, and the project could thus start implementation immediately (see paragraph 31 and 118). The 1<sup>st</sup> annual technical workshop served as inception meeting (see paragraph 9) and the key stakeholders were represented in the PSC (see paragraph 53).

**Rating for Preparation and Readiness: Satisfactory**

116. **Project management:** The implementing/executing agencies implemented CBIT GCP with existing staff resources, so by the implementation could commence immediately without recruitment. Moreover, the CBIT GCP implementation was not affected by staff turnover, and the PMU was well-versed with UNEP and UNDP procedures. While CBIT GCP was managed as two separate sub-programmes, the coordination and cooperation between UNEP, UNDP and UNEP DTU at PMU and EMG (Executive Management Group) level was very well-functioning and as a result the project components were mutually

reinforcing. The PSC involved key stakeholders (UNFCCC Secretariat, GEF Secretariat, country representatives) but only met once during implementation and once again at project completion (although the members were also present at the global technical workshops), so it did not play a major role in providing strategic guidance.

**Rating for Project Management and Supervision: Highly Satisfactory**

117. **Stakeholder participation:** Stakeholders consulted in 1<sup>st</sup> annual technical workshop, which provided an input to the planning of CBIT GCP activities (see paragraph 53). Key stakeholders were represented in the PSC, but it only met once during implementation and a second time in December 2019 towards project completion (see paragraph 53). Moreover, interviews and the usability study with CBIT National Focal Points were used as inputs to the web platform design (see paragraph 69). The PMU maintained regular dialogue with stakeholders, including CBIT National Focal Points and the MRV Group of Friends to gather information and feedback to inform the planning of activities (see paragraph 69). The self-assessments were used as an input to the planning of phase 2 (see paragraph 89).

**Rating for 3. Stakeholders' Participation and Cooperation: Satisfactory**

118. **Gender:** Gender mainstreaming in climate transparency was on the agenda in annual technical workshops. Overall, there was an equal representation of women and men in the webinars and annual technical workshops. Two resources provided in the online library are gender tools: "Gender responsive national communications toolkit" and "Checklist for gender-responsive workshops". The indicators were gender disaggregated when appropriate.
119. **Human rights:** Human rights were not explicitly addressed by CBIT GCP. Nonetheless, the establishment of transparency systems could contribute to the freedom of information.

**Rating for Responsiveness to Human Rights and Gender Equity: Satisfactory**

120. **Environmental safeguards:** The environmental risk associated with CBIT GCP was low, since the project was global and capacity-coordination related, without any investments at the country level. Hence, no mitigation measures were required.

**Rating for Environmental, Social and Economic Safeguards: Satisfactory**

121. **Country ownership:** The CBIT National Focal Points showed a genuine interest in participating in CBIT GCP activities, networking, and experience sharing (see paragraph 71 and 109).

**Rating for Country Ownership and Driven-ness: Satisfactory**

122. **Communication:** CBIT GCP was by nature a knowledge management and learning project in its own right and designed accordingly. The rationale for the project is the lack of a global coordination/communication mechanism. Technical resources were made openly and freely available on the web platform, which thereby facilitated access to materials and information related to climate transparency. CBIT GCP also reached out to a larger audience through the side events linked to the UNFCCC process; these side events were official side events in the UNFCCC programme, so the visibility was good,

and with GEF representation, they reportedly attracted a good number of participants. A presentation of CBIT GCP was also made at PATPA's 8<sup>th</sup> Annual Partnership Retreat (October 2019) "Determining capacity and identifying capacity building needs".

**Rating for Communication and Public Awareness: Highly satisfactory**

**Rating for Factors Affecting Performance and Cross-Cutting Issues: Highly Satisfactory**

## VI. CONCLUSIONS AND RECOMMENDATIONS

### A. Conclusions

123. **Achievements:** CBIT GCP was established in response to the Paris Agreement Article 13 on transparency, as a global mechanism to assist CBIT countries in understanding the national implications of Article 13 and providing opportunities for learning from the experiences of other countries. It also facilitated the access to tools and methodologies that countries could apply in the setting up for national systems for climate transparency, monitoring and reporting. Feedback from CBIT countries consistently shows that CBIT GCP addressed a real need of the CBIT countries, in particular, there was an appetite for sharing and peer learning, but also for gaining access to methodologies tools and for interacting with international technical partners and donors.
124. Moreover, CBIT GCP also provided a platform for enhanced coordination and information sharing among international technical agencies and donors supporting CBIT implementation and climate change transparency more broadly. It also provided an opportunity to get a global overview of the implementation status and challenges of the CBIT countries through the country project pages on the web platform and the self-assessments. This helped the international partners supporting transparency to identify areas already covered and opportunities for engaging without duplication.
125. All the envisaged outputs were fully delivered, and all targets were exceeded, with a consistently higher than anticipated number of users of the online platform and participants in workshops. The web platform was well visited, and the number of downloads lived up to expectations, not least when considering the technical nature of the subject matter. A good number of CBIT countries (33-41) participated in the annual technical workshops. There was overall a high degree of satisfaction among CBIT countries with the quality and appropriateness of the outputs delivered, including the resources in the online library and the contents and format of webinars and workshops. Gender was addressed in annual technical workshops and gender tools were provided in the online library.
126. The intended outcomes of 1) enhanced coordination and best practice sharing, 2) enhanced sharing of information, and 3) a strategy for post-project continuation were achieved. A significant proportion of the CBIT countries appears to have used the resources on the web platform in their work, as well as the learnings from the webinars and workshops, in particular from the experiences from other countries and there is scope for further enhanced sharing as the implementation of CBIT national projects pick up and more experience and lessons are obtained. The access to CBIT national project information and in particular the workshops also contributed to improving the coordination of the international partners. With the planned phase 2 being formulated and with good progress in the process of approval, provisions in place for post-project continuation.
127. Most CBIT countries have not yet, or only recently, embarked on CBIT implementation, but already report that CBIT GCP has made a contribution to improving/strengthening of the national transparency system processes, e.g. vis-à-vis policy frameworks, plans/strategies and implementation of national transparency systems, and to a lesser extent on budget allocations.
128. Overall, the implementation was timely and according to budget (which was fully spent) and fully in line with the procedures of UNEP and UNDP. The expected co-financing was fully available and additional support was mobilised for the global technical workshops. The close links to existing interventions, UNEP DTU ICAT and UNDP's component of



GSP, were important factors contributing to the effective and efficient delivery of CBIT GCP, as was the well-functioning coordination between UNEP, UNDP and UNEP DTU, despite the de-facto split of project implementation into two separate sub-projects. These synergies will be utilised even more effectively, with the planned joint UNDP-UNEP/UNEP DTU PMU integrating both CBIT GCP and GSP. The TE welcomes the move towards full integration of CBIT GCP with GSP with a single joint UNEP-UNDP PMU.

129. For component 1, UNEP had the implementing role, whereas UNEP-DTU had the executing role, which was fully in line with the are the GEF guidelines on implementing and executing agency roles. For components 2 and 3, UNDP was both implementing and executing agency, but with the implementing role handled by the Bureau for Policy and Programme Support (New York) and the executing role by the Europe and CIS Regional Hub (Istanbul), with the roles separated with an internal firewall. While this setup is unusual, the TE did not find any shortcomings related to the accountability of CBIT GCP management and implementation.
130. **Challenges:** Serving a large and diverse number of CBIT countries, with language differences and at different levels of progress on setting up transparency systems, was a challenge. While most countries appreciated learning from countries that were advanced in CBIT implementation, one interviewee found that there is little that the first movers can learn from the majority of less advanced countries. As the number of CBIT countries grows and countries move forward at different paces, this challenge is likely to further increase. In some regions, there is a preference for regional networking due to the similarities among the countries in the region, whereas in other regions there is a high interest in learning mainly from other regions.
131. While the web platform was a useful resource for CBIT National Focal Points, the online format appears more effective for reaching international agencies, programmes and donors and contributing to ensuring coordination and enriching the support they provide, than directly reaching the end-users. The proportion of web platform visits from CBIT countries was fairly low, and the majority of webinar participants came from Europe and North America and the number of government participants was also quite low. Although there was a good representation of CBIT countries at the annual technical workshops, they were outnumbered by international partners at the 2017 and 2019 workshops. The workshops were held in Europe and thus within easy reach for most of the international partners.
132. CBIT GCP contributed to the establishment of a community of practice, the extent to which this translated into tangible partnerships appears modest, with only a small number of countries having used the web platform to enhance partnerships. The community of practice and need for partnerships are still nascent with the implementation of most CBIT national projects only starting up. For the international partners, the coordination vis-à-vis transparency and MRV is still limited mainly to information sharing rather than coordinated action and division of labour. Moreover, while the UNFCCC Secretariat participated in the annual technical workshops, it was not engaged in the planning and delivery CBIT GCP activities.
133. Human rights were not explicitly addressed by CBIT GCP, although there is a clear link between climate transparency and freedom of information.
134. Most indicators were output indicators (with the exception of the indicators for outcome 1), and the progress reporting did not fully capture CBIT GCP's added value and contribution to change (e.g, the strengthening of CBIT national projects).
135. UNEP did not have a clear internal linkage between their CBIT GCP and GSP components, and the merger with GSP is a significant change for UNEP. The planned

creation of a single CBIT GCP and GSP at UNEP DTU does currently include clear provisions for utilising UNEP's technical expertise and experience vis-à-vis GSP.

## B. Summary of project findings and ratings

136. Table 16 provides a summary of the ratings and finding discussed in Chapter V. Overall, the project is rated as **'Satisfactory'**.

**Table 16: Summary of project findings and ratings**

Criterion	Summary assessment	Rating
<b>Strategic Relevance</b>		<b>Satisfactory</b>
1. Alignment to MTS and POW	Falls under the climate change and "environment under review" focus areas in UNEP's MTS and PoW. Contributed to "solutions scaled up for sustainable management of natural resources", "strengthening data for sustainable development" and "climate change" and collaboration area in UNDP Strategic Plans.	Satisfactory
2. Alignment to UNEP/Donor strategic priorities	Contributed to the GEF's climate change focal area.	Satisfactory
3. Relevance to regional, sub-regional and national environmental priorities	Countries found CBIT GCP opportunities for networking and sharing, and access to approaches, guidelines and tools, and training relevant. CBIT GCP fully or partly addressed the needs and priorities of most countries. Diversity of countries, how far they are in setting up transparency systems, languages challenging.	Moderately Satisfactory
4. Complementarity with existing interventions	Strong synergy with UNDP GSP and UNEP DTU ICAT. Specifically promoted coordination among international partners.	Satisfactory
<b>Quality of Project Design</b>	Clear underlying analysis and coherent implementation strategy. Weaknesses in definitions of outcomes, indicators, assumptions. Appropriate management setup, partly two separate sub-projects.	<b>Satisfactory</b>
<b>Nature of External Context</b>	Global external context was as anticipated at design and conducive for implementation of CBIT GCP. A number of national CBIT projects had start-up delays.	<b>Favourable</b>
<b>Effectiveness</b>		<b>Highly Satisfactory</b>
1. Availability of outputs	All outputs delivered. All output target exceeded. Services found useful by majority of CBIT countries.	Highly Satisfactory
2. Achievement of project outcomes	Outcome 1 achieved with a functional updated web platform used by the target audience. Outcome 2 achieved with scope for further enhanced sharing. Outcome 3 achieved with CBIT GCP phase 2 having been formulated and approval moving forward.	Highly Satisfactory
3. Likelihood of impact	All countries found that CBIT GCP had contributed to strengthening national transparency system processes. CBIT GCP likely to have a positive impact on climate transparency in CBIT countries.	Likely
<b>Financial Management</b>		<b>Highly Satisfactory</b>

<b>Criterion</b>	<b>Summary assessment</b>	<b>Rating</b>
1. Adherence to UNEP's financial policies and procedures	Followed the procedures of UNEP and UNDP and the long-term agreement between UNEP and DTU. Funds were made available in a timely manner.	Highly Satisfactory
2. Completeness of project financial information	Financial information available by budget line and component, incl. records for Italian co-financing. Statement of ICAT in-kind contribution available.	Highly Satisfactory
3. Communication between finance and project management staff	Well-functioning communication between PMU and EMG and financial staff at UNEP and UNDP.	Highly Satisfactory
<b>Efficiency</b>	Components fully and timely implemented. Fully justified no-cost extension due to delays of CBIT national projects and need to cover gap between CBIT GCP phase 1 and 2. ICAT and GSP mobilised in CBIT GCP delivery. Co-financing exceeded expectations. Synergies created with partnerships with other initiatives (e.g. PATPA, FAO). Carbon footprint from air travel and web data.	<b>Satisfactory</b>
<b>Monitoring and Reporting</b>		<b>Satisfactory</b>
1. Monitoring design and budgeting	Monitoring plan described terminal evaluation and progress reporting. Indicators for objective and outcomes 2 and 3 were output indicators, rather than outcome indicators. Indicators were SMART.	Moderately Satisfactory
2. Monitoring of project implementation	All indicators reported on in PIRs and final report, gender disaggregated when appropriate. Survey on stakeholder views on web platform, data collected data on web platform use. No evidence of the monitoring of indicators being used (or useful for) adaptive management. Risks reported in PIRs and progress reports.	Moderately Satisfactory
3. Project reporting	Quarterly financial reports, half-yearly progress report, annual PIRs, final report. Captured progress on activities and outputs, changes made, lessons, cross-cutting issues) and risks. Little information on how the project contributed to strengthening CBIT national projects.	Satisfactory
<b>Sustainability</b>		<b>Moderately Likely</b>
1. Socio-political sustainability	Continued use by countries beyond the means of the project to ensure on its own. The CBIT National Focal Points have demonstrated an interest in networking and sharing but would require continued support by international agencies.	Moderately Likely
2. Financial sustainability	CBIT GCP phase 2 formulated and moved forward in approval processes, final approval is still pending.	Likely
3. Institutional sustainability	Continuation of CBIT GCP services depends on the facilitation from an international entity. UNEP, UNDP, UNEP DTU committed to continue implementation.	Likely
<b>Factors Affecting Performance</b>		<b>Highly Satisfactory</b>
1. Preparation and readiness	1 <sup>st</sup> annual technical workshop served as inception meeting. Key stakeholders incl. countries represented in PSC. Existing UNEP, UNDP UNEP DTU staff resources used.	Satisfactory

Criterion	Summary assessment	Rating
2. Quality of project management and supervision	PSC functional. EMG, PMU and inter-agency coordination and cooperation worked very well. UNEP and UNDP components mutually reinforcing. Well-qualified and proactive staff.	Highly Satisfactory
3. Stakeholders' participation and cooperation	The PSC involved key stakeholders but only met once during implementation. Stakeholders consulted in 1 <sup>st</sup> annual technical workshop. PMU maintained regular dialogue with stakeholders, incl. CBIT National Focal Points to gather information and feedback to inform the planning of activities. Interviews and usability study with CBIT National Focal Points as inputs to web platform design. Self-assessments used as input to planning.	Satisfactory
4. Responsiveness to human rights and gender equity	Gender mainstreaming on the agenda in annual technical workshops. Equal representation of women and men in the webinars and annual technical workshops. Two gender tools provided online. Indicators gender disaggregated when appropriate. Human rights not explicitly addressed by CBIT GCP.	Satisfactory
5. Environmental, social and economic safeguards	Low environmental risk, no mitigation measures were required. Carbon footprint from international air travel for workshops and web data.	Satisfactory
6. Country ownership and driven-ness	CBIT National Focal Points showed an interest in participation, networking and experience sharing.	Satisfactory
7. Communication and public awareness	By nature, a knowledge management and learning project. Technical resources openly and freely available on web platform. CBIT GCP reached out to a larger audience through the side events linked to the UNFCCC process.	Highly Satisfactory
<b>Overall Project Performance Rating</b>		<b>Satisfactory</b>

### C. Lessons learned

<b>Lesson Learned #1:</b>	<b>There is a high demand for experience sharing and peer learning among developing countries</b>
<b>Context/comment:</b>	CBIT countries consistently highlighted the value of peer learning, which arguable was the most appreciated added value of CBIT GCP. In particular, countries appreciated learning from countries that were more advanced in CBIT implementations. In some regions, there is a preference for regional sharing due to the similarities among the countries in the region, whereas in other regions there is a high interest in learning from other regions.
<b>Lesson Learned #2:</b>	<b>International partners readily share information and appreciate the value of this, but tangible cooperation is more difficult to nurture</b>

<b>Context/comment:</b>	CBIT GCP provided a platform for enhanced coordination and information sharing among international technical agencies and donors supporting. It also provided an opportunity to get a global overview of the implementation status and challenges of the CBIT countries. This helped the international partners supporting transparency to identify areas already covered and opportunities for engaging without duplication. However, the coordination remained mainly at the level of information sharing but did not lead to division of labour or joint/coordinated implementation.
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<b>Lesson Learned #3:</b>	<b>Global platforms can influence and contribute to strengthening national implementation</b>
<b>Context/comment:</b>	A significant proportion of the CBIT countries applied tools and in particular learning from the experiences from other countries in the implementation of their CBIT national projects. CBIT countries already report that CBIT GCP has made a contribution to improving/strengthening national transparency system processes.

<b>Lesson Learned #4:</b>	<b>Online platforms and global workshops can be used to engage developing countries, but international partners are more easily reached</b>
<b>Context/comment:</b>	The web platform was a useful resource for CBIT National Focal Points. However, the proportion of web platform visitors and webinar participants from CBIT countries was fairly low, with greater participation from Europe and North America. Although there was a good representation of CBIT countries, they were outnumbered by international partners at the 2017 and 2019 workshops.

<b>Lesson Learned #5:</b>	<b>Integration of gender and human rights considerations can be promoted through global platforms, but this requires deliberate action by the platform facilitators</b>
<b>Context/comment:</b>	CBIT GCP paid attention to the incorporation of gender aspects in climate transparency through the annual technical workshops and by providing access to gender tools on the web platform. However, human rights were not addressed in the project design or implementation and did not come up in the webinars and workshops, although there is a link between climate transparency and freedom of information.

## D. Recommendations

<b>Recommendation #1:</b>	<b>Bring UNEP's in-house technical expertise into the implementation arrangements for CBIT GCP phase 2</b>
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	– for example, with provisions for part-time technical inputs from UNEP
<b>Context/comment:</b>	The TE welcomes the planned joint UNDP-UNEP/UNEP DTU PMU for both CBIT GCP and GSP, which will significantly enhance the synergies between component 1 and component 2, CBIT GCP and GSP, and the two agencies more broadly. However, for UNEP, this will move the implementation of GSP from UNEP Nairobi to UNDP DTU, and currently, there are no clear provisions for utilising UNEP's technical expertise and GSP experience.
<b>Priority Level <sup>18</sup>:</b>	Important recommendation.
<b>Responsibility:</b>	UNEP in consultation with UNDP and GEF.
<b>Proposed implementation time-frame:</b>	December-January 2020.

137. Cross-reference(s) to rationale and supporting discussions:

- Section **H. Sustainability**: Institutional Sustainability

<b>Recommendation #2:</b>	<b>Further expand and deepen opportunities for peer learning</b> – for example: <ul style="list-style-type: none"> <li>• Workshops held in CBIT countries</li> <li>• Regional workshops</li> <li>• Workshops and webinars targeting countries at a similar stage of implementing national transparency systems</li> <li>• Exchange visits</li> <li>• Peer reviews</li> </ul>
<b>Context/comment:</b>	Peer learning was arguably the CBIT GCP element that was most appreciated by CBIT countries. At the same time, countries have different needs, and in some regions, there is a strong preference for regional networking. Moreover, for some countries, sharing is more easily done in Spanish, French or Portuguese. GSP has successful experience with regional workshops and networks as well as with peer learning activities that go deeper than workshops and webinars, such as exchange visits and peer reviews.
<b>Priority Level:</b>	Opportunity for improvement.
<b>Responsibility:</b>	UNEP, UNDP, UNEP DTU, PMU.

<sup>18</sup> Select priority level from the three categories below:

*Critical recommendation*: address significant and/or pervasive deficiencies in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of programme objectives.

*Important recommendation*: address reportable deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance might be at risk regarding the achievement of programme objectives. Important recommendations are followed up on an annual basis.

*Opportunity for improvement*: comprise suggestions that do not meet the criteria of either critical or important recommendations, and are only followed up as appropriate during subsequent oversight activities.

<b>Proposed implementation time-frame:</b>	Throughout the implementation of CBIT phase 2.
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138. Cross-reference(s) to rationale and supporting discussions:

- Section **A. Strategic Relevance**: Relevance to Regional, Sub-regional and National Priorities
- Section **D. Effectiveness**: Availability of Outputs
- Section **D. Effectiveness**: Achievement of Project Outcomes
- Section **D. Effectiveness**: Achievement of Likelihood of Impact

<b>Recommendation #3:</b>	<p><b>Enhance the involvement of international partners in CBIT GCP implementation as a means to inspire closer cooperation</b></p> <p>– for example:</p> <ul style="list-style-type: none"> <li>• Seeking feedback from MRV Group of Friends and UNFCCC Secretariat on the draft results framework and planned outputs of CBIT GCP phase 2</li> <li>• Seeking feedback from MRV Group of Friends and UNFCCC Secretariat on draft workshop programmes</li> <li>• Joint workshops, webinars, technical resources with other agencies/members of the MRV group of friends and the UNFCCC Secretariat</li> <li>• Experience sharing workshops and webinars for international partners, including staff working at the regional and country levels</li> <li>• Making the self-assessment tool and the individual country self-assessments available to the MRV Group of Friends, to facilitate their planning of future engagements</li> <li>• Facilitate a joint mapping of the technical strengths and geographical focus of the international technical agencies in the MRV Group of Friends, which can serve as a tool for inspiring cooperation and coordination</li> </ul>
<b>Context/comment:</b>	The coordination vis-à-vis transparency and MRV is still limited mainly to information sharing rather than coordinated action and division of labour. CBIT GCP could be used as an opportunity for bringing international partners closer together in a proactive manner.
<b>Priority Level:</b>	Opportunity for improvement.
<b>Responsibility:</b>	UNEP, UNDP, PMU.
<b>Proposed implementation time-frame:</b>	Throughout the planning and implementation of CBIT phase 2.

139. Cross-reference(s) to rationale and supporting discussions:

- Section **A. Strategic Relevance**: Complementarity with Existing Interventions
- Section **D. Effectiveness**: Achievement of Project Outcomes

<b>Recommendation #4:</b>	<b>Explore the link the between climate transparency and the freedom of information principle</b> – for example: <ul style="list-style-type: none"> <li>• Conducting an analysis of the links, opportunities and potential synergies and added value</li> <li>• As a workshop topic</li> </ul>
<b>Context/comment:</b>	CBIT GCP was not designed to implement any provisions on human rights, despite the linkage between climate transparency and the freedom of information principle. Mainstreaming of human rights and applying a human rights-based approach in implementation are of significant and growing interest to several donors and international agencies, including UNEP.
<b>Priority Level:</b>	Opportunity for improvement.
<b>Responsibility:</b>	PMU.
<b>Proposed implementation time-frame:</b>	During implementation of CBIT phase 2.

140. Cross-reference(s) to rationale and supporting discussions:

- Section **I. Factors Affecting Performance and Cross-Cutting Issues**

<b>Recommendation #5:</b>	<b>Capture the added value and contribution to national transparency systems</b> – for example: <ul style="list-style-type: none"> <li>• Developing a theory of change in adherence with UNEP and UNDP definitions of results (outcomes, outputs)</li> <li>• Establishing and monitoring outcome-oriented indicators</li> <li>• Surveys with CBIT countries on the use of CBIT GCP services and contribution to national transparency systems</li> </ul>
<b>Context/comment:</b>	Most indicators were output indicators, and the progress reporting did not fully capture CBIT GCP's added value and contribution to change.
<b>Priority Level:</b>	Important recommendation.
<b>Responsibility:</b>	PMU.
<b>Proposed implementation time-frame:</b>	Throughout the planning and implementation of CBIT phase 2.



141. Cross-reference(s) to rationale and supporting discussions:

- Section **G. Monitoring and Reporting**: Monitoring Design and Budgeting
- Section **G. Monitoring and Reporting**: Monitoring of Project Implementation
- Section **G. Monitoring and Reporting**: Project Reporting

Annex I. **PEOPLE CONSULTED DURING THE EVALUATION**

Organisation	Name	Position	Gender
UNEP, GEF Climate Change Mitigation Unit, Energy and Climate Branch, Economy Division	Ruth Zugman Do Coutto	Task Manager	Female
UNEP, GEF Climate Change Mitigation Unit, Energy and Climate Branch, Economy Division	Tania Daccarett Pinzás	Programme Consultant	Female
UNEP	Leena Darlington	Finance Management Officer	Female
UNEP	Aaron Mulli	Assistant Finance Management Officer	Male
UNEP	Suzanne Lekoyiet,	Task Manager, Enabling Activities Project	Female
UNEP	Moema Correa	CBIT senior Consultant	Female
UNEP (former UNEP-DTU)	Miriam L. Hinostraza	Head of Global Climate Action	Female
UNEP (former UNEP-DTU)	Frederik Staun	Project Manager (former)	Male
UNDP, Europe and CIS Regional Hub	Damiano Borgogno	Project Manager	Male
UNDP, Europe and CIS Regional Hub	Tugba Varol	Programme Associate	Female
UNDP, Climate Change and Disaster (former)	Yamil Bonduki	Project Director (former)	Male
UNEP DTU	Ana Cardoso	Technical Expert: Design and Programming, Component 1	Female
GEF Secretariat, Latin America regional team, Climate change mitigation	Milena Gonzalez	CBIT Portfolio Project Manager	Female
UNFCCC Secretariat	Jigme		Male
FAO	Mirella Salvatore	CBIT Focal Point	Female
FAO	Rocio Condor	CBIT Focal Point	Female
Conservation International	Charity Nalyanya	CBIT Focal Point	Female
Italian Ministry of Environment	Roberta Ianna		Female
BMU	Rocio Lichte		Female
PATPA, GIZ	Kirstin Hücking		Female
PATPA, GIZ	Oscar Zarco		Male
Government of eSwatini	Khetsiwe Khumalo	CBIT National Focal Point	Female
Government of Uruguay	Virginia Sena	CBIT National Focal Point	Female
Government of Lebanon	Vahakn Kabakian	CBIT National Focal Point	Male
Government of Peru	Rodrigo Alviles		Male
UNEP, Georgia CBIT Project	Kakha Mdivani	CBIT Project Manager	Male
UNDP, North Macedonia CBIT Project	Pavlina Zdraveva	CBIT Project Manager	Female
UNDP, Serbia Country Office	Miroslav Tadic		Male

**Project planning and reporting documents**

- GEF Project Identification Form (PIF), 2016
- Responses to GEF comments on PIF, 2016
- Submission to UNEP GEF PRC, 2017
- Responses to UNEP GEF PRC, 2017
- GEF Letter of Approval, 2017
- GEF CEO Endorsement Request, 2017
- UNDP Project Document, 2017
- UNEP-DTU Project Cooperation Agreement, 2017
- Amendment 1, 2019
- Request for no-cost extension, 2019
- UNEP Routing Slip for Project Revisions, 2019
- UNEP Revised Budget with Budget Variance Analysis
- Revised Workplan
- Selected emails
- EMG meeting notes and agendas, 2018-2019
- PSC meeting reports and agendas, 2018-2019
- Project Implementation Review (PIR) July 2018-June 2019, 2019
- Project Implementation Review (PIR) July 2019-June 2020, 2020
- UNEP Half-early Progress Reports, July-Dec 2017, July-Dec 2018, July-Dec 2019
- Final Report (draft), 2020
- UNEP DTU Half-yearly Progress Reports: July-December 2017, July-December 2018
- UNEP Project Action Sheet, 2019
- GEF Tracking Tools, 2017, 2020
- UNEP DTU: Website Backlog, 2020
- UNDP CBIT GCP: Annual Work Plan and Budget, 2019
- UNDP CBIT GCP: Budget Revision, 2019
- UNDP Financial Statements, 2018-2020
- UNEP DTU: Cash advance request, 2019
- UNEP DTU: ICAT co-finance report, 2020
- UNEP DTU Quarterly expenditure Statements, 2017-2019
- UNEP revised budget with variance analysis, 2019
- UNEP mission reports, 2018-2019,
- Gender Marker Coding Sheet, 2016

**Project outputs work package 1: Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform (executed by the UNEP DTU Partnership),**

- <https://www.cbitplatform.org/>
- Website data, 01/05/2018 to 31/12/2019
- User Expert Review + Usability study, 2018
- Usability survey results, 2018
- Non-Annex I country survey, 2019
- Self-assessment feedback, 2019
- Self-assessment Tool, 2019
- Countries' self-assessments, 2019
- Self-assessment summaries, 2019
- CBIT Platform Analytics, Engagement Metrics, 19 June 2019
- CBIT Good Practice Template
- CBIT Global Coordination Platform Webinars Overview, 13-01-2019
- Global Coordination Platform Guidance for Country Focal Points
- ICAT, CBIT GCP: A road map for establishing information systems for climate action and support, 2019
- Platform welcome note for Country Focal Points
- Snapshot, issue 1: Meet the CBIT countries

**Project outputs work package 2: Information sharing enhanced through regional and global meetings (executed by UNDP)**

- Global Technical Workshop participant lists, Copenhagen2017, Berlin 2018, Rome 2019
- Global Technical Workshop Outcome Reports, Copenhagen2017, Berlin 2018, Rome 2019
- Global Coordination Meeting Outcome Reports, Copenhagen2017, Berlin 2018, Rome 2019
- Agenda for Global Technical Workshop, Rome, 2019
- Agenda for COP side event – SB 46 – Bonn, Germany Initial results and future expectations from the Capacity Building Initiative for Transparency (CBIT) Global Coordination Platform, 2017
- Agenda for Transparency Day 2<sup>nd</sup> Capacity Building Hub, Madrid, 2017
- UNFCCC Sec.: Summary Report: 2<sup>nd</sup> Capacity Building Hub, Madrid, 2017

**Project outputs work package 3: Needs and gaps identified for enhancing transparency systems and CBIT coordination (executed by UNDP).**

- Roadmap, Global Capacity Building Initiative for Transparency (CBIT) Platform Phase II A: Unified Support Platform and Program for Article 13 of the Paris Agreement, 2019

- Roadmap, Global Capacity Building Initiative for Transparency (CBIT) Platform Phase II B: Unified Support Platform and Program for Article 13 of the Paris Agreement, 2019
- Existing capacities and barriers faced by Parties and key stakeholders alike in the implementation of the enhanced transparency framework

#### **Previous evaluations**

- Mid-Term Review of the UNDP-UNEP-GEF project: Global Support Programme for Preparation of National Communications and Biennial Update Re-ports of Non-Annex I Parties under the UNFCCC (GSP) 2015-2020, 2018

#### **Reference documents**

- UNEP Medium Term Strategies, 2014-2017, 2018-2021
- UNEP Biennial Programme of Work (PoW), 2016-2017, 2018-2019
- UNFCCC Sec., CEEW: CBAM - Phase II, Activities, Deliverables, Timeline and Distribution of Work, 2020
- List of CBIT Projects, 2020
- Roadmap, Global Capacity Building Initiative for Transparency (CBIT) Platform Phase II B: Unified Support Platform and Program for Article 13 of the Paris Agreement, 2019
- UNDP, GSP: Gender mainstreaming into climate transparency and measurement, reporting and verification (MRV) 2017-2020, 2020
- GEF: Progress Report on the Capacity-Building Initiative for Transparency, 2019
- DTU: Comfort Letters on audit report factual findings, 2018, 2019
- DTU: Financial Statements, 2018, 2019

Annex III. **BRIEF CV OF THE EVALUATOR**

**Name Kris B. Prasada Rao**

<b>Profession</b>	Partner and board member, PEMconsult
<b>Nationality</b>	Danish
<b>Country experience</b>	<ul style="list-style-type: none"> <li>• Africa: Botswana, Djibouti, Ethiopia, Ghana, Kenya, Liberia, Madagascar, Malawi, Mali, Mauritius, Mozambique, Namibia, Nigeria, Rwanda, Senegal, South Africa, Tanzania, Uganda, Zambia, Zimbabwe</li> <li>• Americas: Argentina, Brazil, Costa Rica, USA</li> <li>• Asia: Afghanistan, Bangladesh, Bhutan, Cambodia, India, Indonesia, Iran, Kazakhstan, Kyrgyzstan, Lao PDR, Myanmar, Tajikistan, Thailand, the Philippines</li> <li>• Europe: Denmark, Italy, Lithuania, Poland, Sweden</li> </ul>
<b>Education</b>	<ul style="list-style-type: none"> <li>• MSc Human Geography, University of Copenhagen, 1999</li> <li>• BSc Geography, University of Copenhagen, 1997</li> </ul>

**Short biography**

Mr Kris B. Prasada Rao is an independent evaluator. He holds an MSc in Human Geography and has 20 years of professional experience in climate change, natural resource management, environment, rural development, agriculture, and livelihoods. He has expertise in different aspects of climate change, including governance under the UNFCCC framework, adaptation and resilience, mitigation, and mainstreaming across sectors. He has worked in 39 countries, for a broad range of multilateral institutions including UNEP, UNDP and the European Union, bilateral donors, and NGOs. Kris B. Prasada Rao is a specialist in evaluation and has carried out numerous evaluations and reviews including complex strategic evaluations, global and regional multi-country programme evaluations, and in-country project evaluations. Moreover, he has hands-on programme and project implementation, management and oversight experience from positions with the Danish Committee for Aid to Afghan Refugees (DACAAR), Oxfam America, and IFAD. He has since 2011 been a partner and board member at PEMconsult ([www.pem.dk](http://www.pem.dk)).

Key specialties and capabilities cover:

- Poverty reduction, livelihoods, rural development, natural resource management, environment, agriculture, water, and climate change
- Fragile states
- Evaluation
- Programme and project planning, implementation, monitoring, supervision
- Programme Manager, Team Leader: management and supervision of international and local programme staff and consultants

**Selected assignments and experiences**

Independent evaluations:

- Bangladesh, Kenya: Evaluation of the Danish Support for Climate Change Adaptation in Developing Countries. Client: Danida, 2019-2020
- Project evaluations and results-based framework development for future monitoring and evaluation - the Low Emission Capacity Building (LECB) Programme, the EU-INDC (Intended Nationally Determined Contribution for the UNFCCC) Project, NDC (Nationally Determined Contribution for the UNFCCC) Support Programme. Team Leader. Client: UNDP, 2019-2020
- Myanmar: Evaluation of the European Union's co-operation with Myanmar, 2012-2017. Team Leader. Client: EC, 2018-2020
- Terminal Evaluation of the UNEP-EC DG Environment Strategic Cooperation Agreement (SCA). Team Leader. Client: UNEP, 2019-2020

- Tanzania: End reviews of EAMCEF II (Conservation and Restoration of the Eastern Arc Mountains) and ECOPRC (Empowering Communities Through Training on Participatory Forest Management, REDD and Climate Changes). Team Leader. Client: Embassy of Norway, 2019
- Joint Nordic Evaluation of the Nordic Development Fund (NDF). Client: Particip for NDF, 2019
- Lao PDR: Mid-Term Review of the Indicative Cooperation Programme (ICP IV) 2016-2020 between the Grand Duchy of Luxembourg and Lao PDR. Client: Luxembourg Ministry of Foreign and European Affairs, 2018-2019
- Kenya, Berlin: Midterm Review of the UNDP-UNEP-GEF project "Global Support Programme for Preparation of National Communications and Biennial Update Reports of non-Annex I Parties under the UNFCCC". Client: UNDP, 2018
- Afghanistan: Evaluation of the European Union's co-operation with Afghanistan, 2007-2016. Team Leader. Client: EC, 2016-2018
- Nigeria: Evaluation of the European Union's sustainable energy cooperation (2011-2016). Client: EC, 2017
- Afghanistan: Mid-Term Review of the UNDP-GEF project: Establishing integrated models for protected areas and their co-management in Afghanistan. Team Leader. Client: UNDP, 2017
- Madagascar, Mauritius, Djibouti: Evaluation of the European Union's co-operation with the Region of Eastern Africa, Southern Africa and the Indian Ocean, 2008-2015. Client: EC, 2016-2017
- Afghanistan: Mid-Term Evaluation of the UNEP project "Building Adaptive Capacity and Resilience to Climate Change in Afghanistan 2014-2018", funded by the GEF (Global Environment Facility). Team Leader. Client: UNEP, 2016
- Ghana, Kenya, Malawi, Zambia: Global evaluation of EU's Water Facility. Client: EC, 2016
- Kyrgyzstan, Kazakhstan, Tajikistan: Evaluation of the European Union's co-operation with Central Asia. Team Leader. Client: EC, 2015-2016
- Cambodia: Mid Term Review of the EU funded Project: "Sustaining biodiversity, environmental and social benefits in the Protected Areas of the Eastern Plains Landscape of Cambodia". Client: WWF, 2016
- Costa Rica, Denmark: Global Mid-Term Evaluation of the EU funded Low Emission Capacity Building (LECB) Programme. Team Leader. UNDP, 2015
- Tanzania, Kenya: Evaluation of Swedish (SMHI) International Training Programs (ITP); Climate Change - Mitigation and Adaptation 2007-2011. Sida, 2015
- Bangladesh: Evaluation of the development cooperation of Denmark, Sweden and the European Union. Focus area: Climate change and disaster management. Client: EC, 2015
- Ghana, Kenya, Rwanda, Denmark: Evaluation of the European Union's support to environment and climate change in third countries (2007-2013). Client: EC, 2014-2015
- Mid-term Evaluation of the UNEP-DHI - Centre for Water and Environment. Client: UNEP, 2014
- Argentina, Brazil, Costa Rica, Denmark: Global joint donor review of UNDP Cap-Net. Team Leader. Client: UNOPS, 2014
- Liberia, Kenya, Denmark: Global evaluation of the "Gender-responsive Climate Change Initiatives and Decision-making" programme phase 2 and 3 (implemented by UNDP-UNEP, IUCN, WEDO) under the Global Gender and Climate Alliance (GGCA). Team Leader. Client: UNDP (+IUCN and WEDO), 2013
- Tajikistan: Evaluation of Output 2, Rural Growth Programme (RGP). Team Leader. Client: UNDP, 2013
- Global programme evaluation of the UNDP Africa Adaptation Programme (AAP). Team Leader. Client: UNDP, 2013

- Kenya: Mid-term review of Hand in Hand Eastern Africa - Enterprise Development for Rural Families in Kenya. Team Leader. Client: Hand in Hand (Sida funded), 2012
- Bhutan, Laos, Tajikistan, Thailand, Botswana, Kenya: Global Midterm Review of UNDP-UNEP Poverty-Environment Initiative. Environment expert, primary consultant for Asia and CIS country programme reviews. Client: UNDP-UNEP, 2011.
- Afghanistan: Mid term evaluation of the HALO Trust (NGO) Demining Programme. Team Leader. Client: DFID, 2010



## Annex IV. EVALUATION TOR (WITHOUT ANNEXES)

Evaluation Office of UNEP

Last revised:15.11.19

### TERMS OF REFERENCE

#### Terminal Evaluation of the UNEP/GEF project “Capacity Building Initiative for Transparency (CBIT) Global Coordination Platform” GEF ID #: 9675

#### Section 1: PROJECT BACKGROUND AND OVERVIEW

##### 1. Project General Information

Table 1. Project summary

<b>GEF Project ID:</b>	9675		
<b>Implementing Agency:</b>	UNEP/UNDP	<b>Executing Agency:</b>	UNEP DTU Partnership Component 1 UNDP Components 2 and 3.
<b>Relevant SDG(s) and indicator(s):</b>	<p>13.2.1 Number of countries that have communicated the establishment or operationalisation of an integrated policy/strategy/plan which increases their ability to adapt to the adverse impacts of climate change, and foster climate resilience and low greenhouse gas emissions development in a manner that does not threaten food production (including a national adaptation plan, nationally determined contribution, national communication, biennial update report or other)</p> <p>17.16.1 Number of countries reporting progress in multi-stakeholder development effectiveness monitoring frameworks that support the achievement of the sustainable development goals</p>		
<b>Sub-programme:</b>	Climate Change	<b>Expected Accomplishment(s):</b>	<p><b>EA I:</b> CBIT platform for coordination, learning opportunities and knowledge sharing</p> <p><b>EA II:</b> Coordination and exchange events</p> <p><b>EA III:</b> CBIT Needs and Gaps identified</p>
<b>UNEP approval date:</b>		<b>Programme of Work Output(s):</b>	Programme of Work 2018-2019 – Sub-Programme Climate Change Expected Accomplishment B: countries increasingly adopt and/or implement low greenhouse gas emission development strategies and invest in clean technologies
<b>GEF approval date:</b>	03-August-2017	<b>Project type:</b>	Medium Size Project
<b>GEF Operational Programme #:</b>		<b>Focal Area(s):</b>	Climate Change <sup>1</sup>
		<b>GEF Strategic Priority:</b>	Capacity Building Initiative for Transparency
<b>Expected start date:</b>		<b>Actual start date:</b>	05-October-2017
<b>Planned completion date:</b>	31-March-2019	<b>Actual operational completion date:</b>	31-December-2019
<b>Planned project budget at approval:</b>	1,400,000	<b>Actual total expenditures reported as of [date]:</b>	
<b>GEF grant allocation:</b>	1,000,000	<b>GEF grant expenditures reported as of [date]:</b>	As of 30 <sup>th</sup> of June (PIR) UNEP: US\$ 262,973 UNDP: US\$ 331,985

<sup>1</sup> PIR 2019 says GEF Focal area - Capacity Building Initiative for Transparency; CEO Approval says GEF Focal Area Climate Change

<b>Project Preparation Grant - GEF financing:</b>		<b>Project Preparation Grant - co-financing:</b>	
<b>Expected Medium-Size Project co-financing:</b>	400,000	<b>Secured Medium-Size Project co-financing:</b>	
<b>First disbursement:</b>	05-September-2018	<b>Planned date of financial closure:</b>	
<b>No. of formal project revisions:</b>	1	<b>Date of last approved project revision:</b>	
<b>No. of Steering Committee meetings:</b>	2	<b>Date of last/next Steering Committee meeting:</b>	Last:19-December-2019      Next: N/A
<b>Mid-term Review/ Evaluation (planned date):</b>	N/A	<b>Mid-term Review/ Evaluation (actual date):</b>	N/A
<b>Terminal Evaluation (planned date):</b>	30-April-2020	<b>Terminal Evaluation (actual date):</b>	
<b>Coverage - Country(ies):</b>	Global	<b>Coverage - Region(s):</b>	Global
<b>Dates of previous project phases:</b>	N/A	<b>Status of future project phases:</b>	A PIF (GEFID: 10128) for a Phase II-A has been approved, the CEO Endorsement request was submitted to the GEF and we received comments, UNDP plans to resubmit in January/February 2020.

## 2. Project rationale

- Through becoming a signatory to the Paris Agreement, the global community has recognized the urgency in addressing climate change. This is evidenced by the Parties' aspiration to "holding the increase in the global average temperature to well below 2 degrees Celsius above pre-industrial levels and pursuing significant efforts to limit the temperature increase to 1.5 degrees Celsius above pre-industrial levels, recognizing that this would significantly reduce the risks of impacts" as stated in Article 2 of the Paris Agreement. The Agreement entered into force on November 4th, 2016 and it was deemed essential for countries to establish solid measuring, reporting, and verification (MRV) systems to assess the impact of climate change actions and policies and to track the implementation of the Agreement.
- The Nationally Determined Contribution (NDC) of a country sets out its efforts to combat climate change, including its mitigation goal, corresponding to its national contribution to global mitigation efforts as well as adaptation goals and means of implementation. At the national level, NDCs have been implemented through individual policies and measures, designed by the countries. These policies, actions and measures are subject to MRV processes, nationally and internationally. The information collected from individual policies, actions and measures is able to be used nationally to monitor the level of achievement of the mitigation and adaptation goals stated in the NDC and thus contribute to the reporting of progress in implementing NDCs to United Nations Framework Convention on Climate Change (UNFCCC). In addition, the information collected at the country level and reported internationally allows for the achievement of the long-term mitigation goal of the Paris Agreement, namely 'reaching global peaking of greenhouse gas emissions as soon as possible', to be tracked. In this context, the design and implementation of MRV systems at the national and international levels become an important tool to track individual countries' implementation of their NDCs.
- The Paris Agreement establishes an "enhanced transparency framework for action and support," which covers information about the mitigation and adaptation actions undertaken by all Parties, as well as the support they provide or receive to enable them to implement these actions. However, although Article 13 of the Paris Agreement provides a framework for transparency internationally and contains guidelines of what is required by the Parties to the Conventions, how it was to be operationalized in the case of individual countries was not clearly defined. This flexibility was initially needed to accommodate countries' difference in circumstances and to consider

varying national capacities. Under this framework each party must submit a national greenhouse gas inventory report, and the information necessary to track progress made in implementing and achieving its nationally determined contribution under Article 4. The pre-2020 period was a learning period but at the same it is also expected that countries begin complying with Article 13 from 2020 and onwards. Before tracking NDC progress and taking stock of the Paris Agreement trajectory advancements, it was therefore necessary to get an overview of where we are in terms of establishing a transparency system that all countries have the capacity to report on.

4. Without systematic global coordination and efficient knowledge management, the climate change community was at risk of duplication, a lack of synergy and a lack of understanding of the availability of methodologies and their application in different countries.

5. The primary problem this project addressed was the lack of a global coordination platform for information sharing and knowledge management on the enhanced transparency framework, as defined by the article 13 of the Paris Agreement. Many developing countries were facing similar challenges resulting from the lack of a coordinated platform or forum to help facilitate discussion on lessons learned and best practices. The establishment of an online platform, [www.cbitplatform.org](http://www.cbitplatform.org), in conjunction with global workshops, was created to ensure the efficient coordination of support initiatives both globally and domestically, allowing developing countries to share best practices and explore synergies, which helped facilitate the development of capacities and transparency systems to track the implementation of their NDCs. Many countries also found it challenging to understand what could be done in preparation for the Paris Agreement implementation and how to link the CBIT support to article 13 requirements. The coordination and information sharing platform was accompanied by publications, workshops, webinars and discussion forums, aimed at supporting countries' understanding of article 13 requirements.

6. The CBIT initiative aimed to support countries to strengthen national institutions and build capacity to understand and meet the article 13 requirements. The coordination and information sharing platform was accompanied by publications, workshops, webinars and discussion forums, aimed at supporting countries' understanding of article 13 requirements. Although a global initiative, the CBIT support was mainly focused on national projects, and was designed to be complimentary to all the national CBIT projects. As per January 2020 14 national CBIT projects are already under implementation according to the platform.

7. A key condition for successful implementation of the Paris Agreement's transparency requirements was the provision requiring adequate and sustainable financial support and capacity building. This was, and still is, necessary as means to enable developing countries to significantly strengthen or scale up their efforts to build robust domestic and international measurement, tracking, reporting and verification systems, as well as more robust domestic and regulatory processes. The CBIT program's vision was to establish a Global Coordination Platform (GCP) that was able to engage countries, the GEF Partner Agencies, and other relevant entities and institutions with related program activities, to enhance partnership of national, multilateral, and bilaterally-supported capacity-building initiatives. The GCP would also support the CBIT management, enable global coordination, maximize learning opportunities, and enable knowledge sharing to facilitate transparency enhancements.

8. The objective of this project was to establish and manage a CBIT Global Coordination Platform for sharing and obtaining information, disseminate knowledge about the Paris Agreement transparency framework for more efficient CBIT country support, easy and free access to knowledge and ultimately strengthen national transparency systems responding to article 13 of the Paris Agreement. The operationalization of the GCP was accompanied by global workshops for knowledge sharing and needs and gaps assessments to inform a more coordinated and efficient capacity building effort. The GCP was able to facilitate a more efficient operationalization of the above-mentioned areas of work and increase the impact of the existing and emerging transparency initiatives. To achieve this the GCP was designed to keep track of national CBIT projects, and other national transparency projects and initiatives, and address the lack of national transparency capacities and limited coordination efforts through three pillars: (I) the centralization of an easy-access to information platform through a web-based transparency coordination platform; (II) coordination through the platform and related events, (III) the identification of gaps

and needs for enhanced transparency systems. This allowed best practices and synergies to be identified benefitting transparency activities globally.

### 3. Project objectives and components

10. The objective of this project is to establish and manage a CBIT Global Coordination Platform for sharing and obtaining information, disseminate knowledge about the Paris Agreement transparency framework for more efficient CBIT country support, easy and free access to knowledge and ultimately strengthen national transparency systems responding to article 13 of the Paris Agreement. The operationalization of the GCP will be accompanied by regional workshops for knowledge sharing and needs and gaps assessments to inform a more coordinated and efficient capacity building effort.

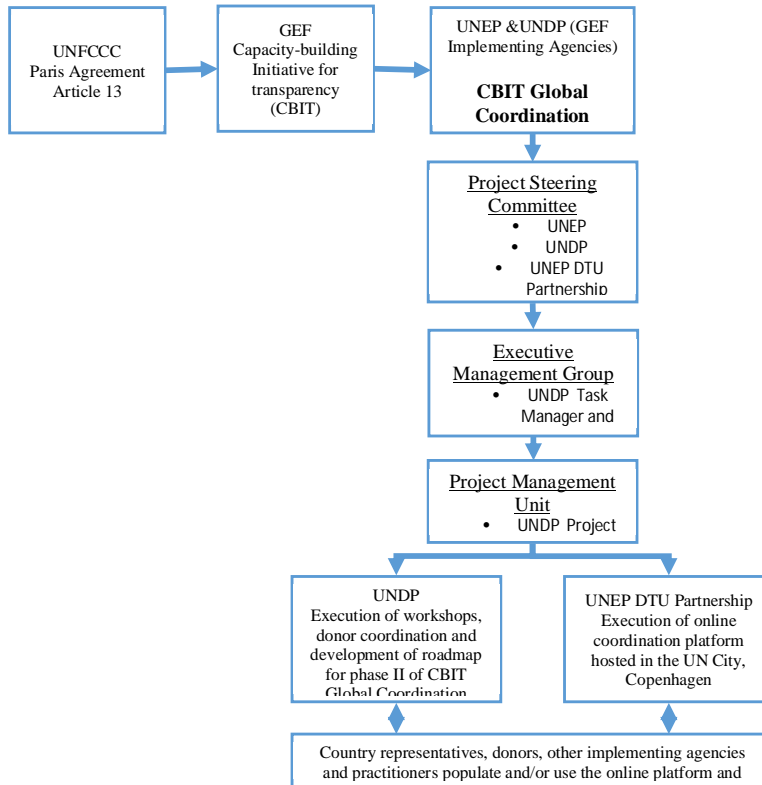
Table 2: Project Outcomes and Expected results

Project Component	Outputs	Expected Results/Outcomes
<b>EA I:</b> CBIT platform for coordination, learning opportunities and knowledge sharing	<p>Output 1.1 A web-based coordination platform on transparency designed and operational</p> <p>Output 1.2 Self-assessment tool for Countries to assess the state of their national transparency systems developed and deployed</p> <p>Output 1.3 Platform interface for self-progress reporting by national CBIT projects and other transparency initiatives designed</p> <p>Output 1.4 Coordination platform populated with data and information on transparency initiatives, CBIT national projects and country efforts (collected from 1.2 and 1.3)</p> <p>Output 1.5 Available transparency-related emerging practices, methodologies, and guidance collected and made available through the coordination platform</p>	Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform.
<b>EA II:</b> Coordination and exchange events	<p>Output 2.1 Coordination platform launched in kick-off event</p> <p>Output 2.2 Three technical workshops on transparency organized and executed</p>	Information sharing enhanced through regional and global meetings.
<b>EA III:</b> CBIT Needs and Gaps identified	<p>Output 3.1 Needs &amp; gaps identified for enhancing transparency systems and CBIT coordination</p> <p>Output 3.2 Roadmap for Phase 2 to expand the CBIT coordination platform as per the scope of paragraph 21 of the CBIT programming paper, including: institutional arrangements, best practices and community of practice, global and regional</p>	Needs & gaps identified for enhancing transparency systems and CBIT coordination

	capacity building programmes, implementation tracking tool, coordination with other platforms, etc.	

#### 4. Executing Arrangements

##### Governance and Management Arrangements



##### Project Management Unit

The Project Management Unit (PMU) which constitutes of a UNDP Project Manager (the GSP coordinator) and a UNEP DTU Partnership Project Manager will be responsible for day to day management of the project. The two Project Managers will be responsible for execution of the respective project components under the CBIT project. The project managers will also be expected to identify critical links and synergies between the components of the project through biweekly meetings.

Outcome 2 and 3, under UNDP responsibilities, will be managed by the Global Support Program team, as this will foster cost efficiencies and at the same time this new initiative will be able to build

on the existing channels and networks established by the Global Support Program, including but not limited to, GEF, UNFCCC, more than 100 developing countries and 20 developed countries. The quota of the Project Management Cost – USD 50,000- will be used to cover part time the salary of the Global Support Program Coordinator. The IRH will also provide administrative, operative and QA/QC support during the implementation of the program.

UNEP will be responsible for implementing component 1 and 3 and will manage and implement those directly and separately, but in strict coordination with UNDP.

#### **Executive Management Group**

The executive management group (EMG) will comprise representatives from:

- UNEP (task manager),
- UNDP (project manager and task manager),
- UNEP DTU Partnership (project manager)

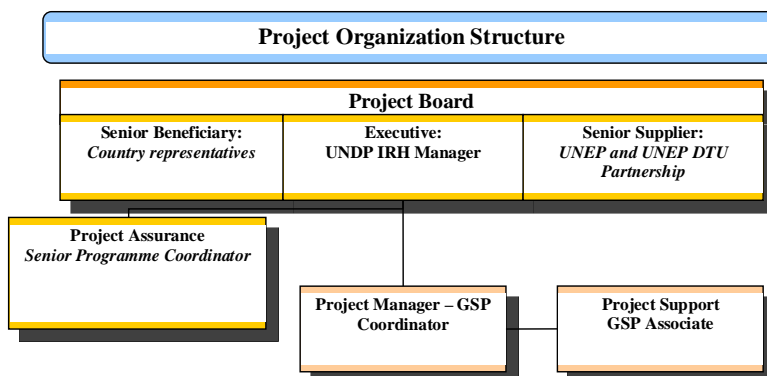
The EMG will oversee the implementation of the project through monthly meetings. Its main functions will be to approve management decisions and ensure timely delivery of quality outputs. The main purpose of the EMG is to establish a very close coordination between UNEP and UNDP in order to ensure the execution of the activities of the three components as one single project. The two project managers will act as the EMG Secretariat.

#### **Project Steering Committee**

The Project Steering Committee (PSC) will comprise representatives from:

- UNEP,
- UNDP,
- UNEP DTU Partnership,
- UNFCCC representative,
- GEF Secretariat representative,
- 1 Annex I country representative,
- 1 non-Annex I country representative.

The Committee will be responsible for reviewing project progress, approving annual workplans, budget and providing strategic guidance to the EMG. The PSC will meet annually, unless one of the committee members call for ad hoc interim meeting. It will allow users as well as the key donor and the UNFCCC to participate in the decision-making process. The PSC meetings will be organized back to back with some of the other workshops or side events organized by the project.



### 5. Project Cost and Financing

The project falls under the medium-sized project category, with an overall project budget of USD 1,400,000. The total is made up of USD 1,000,000 GEF funding and USD 400,000 co-financing from the Initiative for Climate Action Transparency. The GEF project financing comes from both UNEP – USD 515,000 and UNDP – USD 485,000.

Table 3. Estimated project budget by component (Not inclusive of agency fees<sup>2</sup>)

Source	Amount (USD)
GEF financing	1,000,000
Co-financing	400,000
Total	1,400,000

## Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

### 6. Objective of the Evaluation

In line with the UNEP Evaluation Policy<sup>3</sup> and the UNEP Programme Manual<sup>4</sup>, the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNDP and signatories to the Paris Agreement. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, especially for the second phase of the project, where applicable

### 7. Key Evaluation Principles

Evaluation findings and judgements will be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be

<sup>2</sup> See CEO Approval Request for break down of estimated Agency fees

<sup>3</sup> <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

<sup>4</sup> <https://wecollaborate.unep.org>

mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

**The “Why?” Question.** As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention will be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultant(s) needs to go beyond the assessment of “what” the project performance was and make a serious effort to provide a deeper understanding of “why” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

**Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the consultant(s) should consider the difference between what has happened with, and what would have happened without, the project. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

**Communicating evaluation results.** A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant(s) should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant(s) will plan with the Evaluation Manager which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

## 8. Key Strategic Questions

In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the **strategic questions** listed below. These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution:

- (a) How are the GEF guidelines on implementing and executing agency roles manifested in the project’s implementation structure? How does the allocation of roles affect accountability?

## 9. Evaluation Criteria

All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultant(s) can propose other evaluation criteria as deemed appropriate.

### A. Strategic Relevance

The evaluation will assess ‘the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor’. The evaluation will include an assessment of the project’s relevance in relation to UNEP’s mandate and its alignment with UNEP’s policies and strategies at



the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. *Alignment to the UNEP Medium Term Strategy<sup>5</sup> (MTS) and Programme of Work (POW)*

The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

ii. *Alignment to UNEP / Donor/GEF Strategic Priorities*

Donor, including GEF, strategic priorities will vary across interventions. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>6</sup> (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

iii. *Relevance to Regional, Sub-regional and National Environmental Priorities*

The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

iv. *Complementarity with Existing Interventions*

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization<sup>7</sup>, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

*Factors affecting this criterion may include:*

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

## **B. Quality of Project Design**

The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established ([www.unenvironment.org/about-un-environment/our-evaluation-approach/templates-and-tools](http://www.unenvironment.org/about-un-environment/our-evaluation-approach/templates-and-tools)). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

<sup>5</sup> UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

<sup>6</sup> <http://www.unep.fr/ozonaction/about/bsp.htm>

<sup>7</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

*Factors affecting this criterion may include (at the design stage):*

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

### **C. Nature of External Context**

At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval<sup>8</sup>). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the evaluation consultant and Evaluation Manager together. A justification for such an increase must be given.

### **D. Effectiveness**

#### **i. Availability of Outputs<sup>9</sup>**

The evaluation will assess the project's success in producing the programmed outputs and achieving milestones as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of project management and supervision<sup>10</sup>

#### **ii. Achievement of Project Outcomes<sup>11</sup>**

The achievement of project outcomes is assessed as performance against the project outcomes as defined in the reconstructed<sup>12</sup> Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. As with outputs, a table can be used where substantive amendments to the formulation of project outcomes is necessary. The evaluation should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

*Factors affecting this criterion may include:*

- Quality of project management and supervision
- Stakeholders' participation and cooperation

<sup>8</sup> Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management by the project team.

<sup>9</sup> Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

<sup>10</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

<sup>11</sup> Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

<sup>12</sup> All submitted UNEP project documents are required to present a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any formal changes made to the project design.

- Responsiveness to human rights and gender equity
- Communication and public awareness

### **iii. Likelihood of Impact**

Based on the articulation of long-lasting effects in the reconstructed TOC (i.e. from project outcomes, via intermediate states, to impact), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation> and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.<sup>13</sup>

The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication<sup>14</sup> as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partners.

*Factors affecting this criterion may include:*

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

## **E. Financial Management**

Financial management will be assessed under three themes: adherence to UNEP's financial policies and procedures, completeness of financial information and communication between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

<sup>13</sup> Further information on Environmental, Social and Economic Safeguards (ESSES) can be found at <http://wedocs.unep.org/handle/20.500.11822/8718>

<sup>14</sup> *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer-term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of project management and supervision

### **F. Efficiency**

The evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

The evaluation will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities<sup>15</sup> with other initiatives, programmes and projects etc. to increase project efficiency. The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

*Factors affecting this criterion may include:*

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

### **G. Monitoring and Reporting**

The evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

#### **i. Monitoring Design and Budgeting**

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>16</sup> indicators towards the provision of the project's outputs and achievement of project outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

#### **ii. Monitoring of Project Implementation**

The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This should include monitoring the representation and participation of disaggregated groups (including gendered, vulnerable and marginalised groups) in project activities. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and

<sup>15</sup> Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

<sup>16</sup> SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

### **iii. Project Reporting**

UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The evaluation will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

*Factors affecting this criterion may include:*

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g. disaggregated indicators and data)

## **H. Sustainability**

Sustainability is understood as the probability of project outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of project outcomes may also be included.

### **i. Socio-political Sustainability**

The evaluation will assess the extent to which social or political factors support the continuation and further development of project outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

### **ii. Financial Sustainability**

Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the project's outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

### **iii. Institutional Sustainability**

The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

*Factors affecting this criterion may include:*

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

### **I. Factors and Processes Affecting Project Performance and Cross-Cutting Issues**

*(These factors are rated in the ratings table but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above. Where the issues have not been addressed under other evaluation criteria, the consultant(s) will provide summary sections under the following headings.)*

#### **i. Preparation and Readiness**

This criterion focuses on the inception or mobilisation stage of the project (ie. the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is included in the template for the assessment of Project Design Quality).

#### **ii. Quality of Project Management and Supervision**

In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UNEP.

The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

#### **iii. Stakeholder Participation and Cooperation**

Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UNEP and the Executing Agency. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

#### **iv. Responsiveness to Human Rights and Gender Equity**

The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment<sup>17</sup>.

<sup>17</sup>The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. [https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-/Gender\\_equality\\_and\\_the\\_environment\\_Policy\\_and\\_strategy-2015Gender\\_equality\\_and\\_the\\_environment\\_policy\\_and\\_strategy.pdf.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-/Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y)

In particular the evaluation will consider to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to, and the control over, natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

**i. Environmental and Social Safeguards**

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening, risk assessment and management (avoidance or mitigation) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements<sup>18</sup> were met to: screen proposed projects for any safeguarding issues; conduct sound environmental and social risk assessments; identify and avoid, or where avoidance is not possible, mitigate, environmental, social and economic risks; apply appropriate environmental and social measures to minimize any potential risks and harm to intended beneficiaries and report on the implementation of safeguard management measures taken.

**v. Country Ownership and Driven-ness**

The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. Ownership should extend to all gendered and marginalised groups.

**vi. Communication and Public Awareness**

The evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

### **Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES**

The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant(s) will provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

The findings of the evaluation will be based on the following:

- (a) **A desk review of:**
- Relevant background documentation;

<sup>18</sup> For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 20XX.

- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
  - Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
  - Project outputs: as applicable, based on the Results Framework (See final Project Output Document and Results Framework)
  - 
  - Mid-Term Review or Mid-Term Evaluation of the project;
  - Evaluations/reviews of similar projects.
- (b) **Interviews** (individual or in group) with:
- UNEP Task Manager (TM);
  - Project management team, including the Project Manager within the Executing Agency;
  - UNEP Fund Management Officer (FMO);
  - Portfolio Manager and Sub-Programme Coordinator, where appropriate;
  - Project partners, [Please see Relevant People and Stakeholders list]
  - Relevant resource persons, including members of host countries for workshops (Germany in 2018 and Italy in 2019).
- (c) **Surveys**
- (d) **Field visits**
- (e) **Other data collection tools** [Existing data and surveys on the platform and use have been collected and will be accessible to evaluation consultant.]

## 10. Evaluation Deliverables and Review Procedures

The evaluation team will prepare:

- Inception Report:** (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- Preliminary Findings Note:** typically in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
- Draft and Final Evaluation Report:** (see links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

An **Evaluation Brief**, (a 2-page overview of the evaluand and key evaluation findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Evaluation Manager no later than during the finalization of the Inception Report.



**Review of the draft evaluation report.** The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Task Manager and Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation consultant(s) where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation consultant(s) for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

The Evaluation Manager will prepare a **quality assessment** of the first draft of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the final report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis for a maximum of 18 months.

## 11. The Evaluation Consultant

For this evaluation, the evaluation team will consist of an Evaluation Consultant who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager [Myles Hallin], in consultation with the UNEP Task Manager [Suzanne Lekoyiet], Fund Management Officer [Leena Darlington] and the Sub-programme Coordinator of the [GEF Climate Mitigation Unit], [Ruth Coutto]. The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, each consultant's individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

The Evaluation Consultant will be hired over a period of 6 months [April 2020 to September 2020] and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a minimum of 10 years of evaluation experience, including of evaluating large, regional or global programmes; a good/broad understanding of the United Nations System. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement, along with excellent writing skills in English. Working knowledge of the work of UNEP is an added advantage. The work will be home-based with possible field visits.

The Evaluation Consultant will be responsible, in close consultation with the Evaluation Office of UNEP for overall management of the evaluation and timely provision of its outputs, described above in Section 11 Evaluation Deliverables, above. The consultant will ensure that all evaluation criteria and questions are adequately covered.

**Specific Responsibilities for the Evaluation Consultant:**

In close consultation with the Evaluation Manager, the evaluation consultant will be responsible for the overall management of the evaluation and timely provision of its outputs, data collection and analysis and report-writing. More specifically:

**Inception phase of the evaluation, including:**

- preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- develop and present criteria for country and/or site selection for the evaluation mission;
- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

**Data collection and analysis phase of the evaluation, including:**

- conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
- (where appropriate and agreed) conduct an evaluation mission(s) to selected countries, visit the project locations, interview project partners and stakeholders, including a good representation of local communities. Ensure independence of the evaluation and confidentiality of evaluation interviews.
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Manager informed of the evaluation progress.

**Reporting phase, including:**

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the evaluation consultant and indicating the reason for the rejection; and
- (where agreed with the Evaluation Manager) prepare an Evaluation Brief (2-page summary of the evaluation and the key evaluation findings and lessons)

**Managing relations, including:**

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

**12. Schedule of the evaluation**

The table below presents the tentative schedule for the evaluation.

**Table 3. Tentative schedule for the evaluation**

<b>Milestone</b>	<b>Tentative Dates</b>
Evaluation Initiation Meeting	April
Inception Report	April
Evaluation Mission	NA
Telephone interviews, surveys etc.	May
Powerpoint/presentation on preliminary findings and recommendations	June
Draft report to Evaluation Manager (and Peer Reviewer)	June/July
Draft Report shared with UNEP Project Manager and team	July/August
Draft Report shared with wider group of stakeholders	August/September
Final Report	September

Final Report shared with all respondents	September
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### 13. Contractual Arrangements

Evaluation consultants will be selected and recruited by the Evaluation Office of UNEP under an individual Special Service Agreement (SSA) on a "fees only" basis (see below). By signing the service contract with UNEP /UNON, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment for the [Evaluation Consultant/Principal Evaluator]:

Deliverable	Percentage Payment
Approved Inception Report (as per annex document 7)	30%
Approved Draft Main Evaluation Report (as per annex document 13)	40%
Approved Final Main Evaluation Report	30%

Fees only contracts: Air tickets will be purchased by UNEP and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

The consultants may be provided with access to UNEP's Anubis information management system and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.

If the consultant(s) fail to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

### Quality Assessment of the Evaluation Report

Evaluand Title:

**Capacity Building Initiative for Transparency (CBIT) Global Coordination Platform (GCP) - GEF ID #: 9675**

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills.

	UNEP Evaluation Office Comments	Final Report Rating
<b>Substantive Report Quality Criteria</b>		
<p><b>Quality of the Executive Summary:</b></p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	<p><b>Final report:</b></p> <p>The Executive Summary provides a concise summary of the report's findings.</p>	6
<p><b>I. Introduction</b></p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	<p><b>Final report:</b></p> <p>Complete and concise section that highlights purpose of the Evaluation.</p>	6
<p><b>II. Evaluation Methods</b></p> <p>A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.).</p> <p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their</p>	<p><b>Final report:</b></p> <p>Detailed description of the approach taken.</p>	6

<p>experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. Is there an ethics statement?</p>	<p>Limitations acknowledged and consultant attempted to mitigate limitations.</p> <p>Ethics and Human Rights and Gender specifically addressed.</p>	
<p><b>III. The Project</b></p> <p>This section should include:</p> <ul style="list-style-type: none"> <li>• Context: Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).</li> <li>• Results framework: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• Stakeholders: Description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• Project implementation structure and partners: A description of the implementation structure with diagram and a list of key project partners</li> <li>• Changes in design during implementation: Any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• Project financing: Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p>Final report:</p> <p>Comprehensive section covering all elements.</p>	6
<p><b>IV. Theory of Change</b></p> <p>The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>This section should include a description of how the TOC at Evaluation<sup>19</sup> was designed (who was involved etc.) and applied to the context of the project? Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. The two results hierarchies should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</p>	<p>Final report:</p> <p>The TOC at Evaluation presented clearly in both diagrammatic and narrative forms. Detailed discussion of causal pathways and an effective diagram, including identification of Drivers and Assumptions.</p>	6

<sup>19</sup> During the Inception Phase of the evaluation process a TOC at Evaluation Inception is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the TOC at Evaluation.

<p><b>V. Key Findings</b></p> <p><b>A. Strategic relevance:</b></p> <p>This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation<sup>20</sup>), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> <li>i. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW)</li> <li>ii. Alignment to Donor/GEF Strategic Priorities</li> <li>iii. Relevance to Regional, Sub-regional and National Environmental Priorities</li> <li>iv. Complementarity with Existing Interventions</li> </ul>	<p>Final report:</p> <p>Detailed discussion of all elements</p>	<p>6</p>
<p><b>B. Quality of Project Design</b></p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final report:</p> <p>Good summary of assessment of project design.</p>	<p>6</p>
<p><b>C. Nature of the External Context</b></p> <p>For projects where this is appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval<sup>21</sup>), and how they affected performance, should be described.</p>	<p>Final report:</p> <p>Provides accurate summation of external context during time of implementation</p>	<p>5</p>
<p><b>D. Effectiveness</b></p> <p><b>(i) Outputs and Project Outcomes:</b> How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>Final report:</p> <p>Detailed discussion of the availability of outputs and achievement of outcomes, supported by detailed summary tables</p>	<p>6</p>

<sup>20</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

<sup>21</sup> Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

<p><b>(ii) Likelihood of Impact:</b> How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p> <p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p><b>Final report:</b></p> <p>Determining the Likelihood of Impact was challenging due to the nature<sup>22</sup> of this project, along with indicators that, at the outcome and impact level, were largely unable to measure change effectively.</p> <p>Drivers and assumptions are not specifically discussed.</p> <p>Analysis of evidence relating to likelihood of impact could have included more detail.</p>	5
<p><b>E. Financial Management</b></p> <p>This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table.</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• Adherence to UNEP's financial policies and procedures</li> <li>• completeness of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> <li>• communication between financial and project management staff</li> </ul>	<p><b>Final report:</b></p> <p>Good discussion of elements of financial management with supporting tables. Discussion of communication could have been more descriptive.</p>	6
<p><b>F. Efficiency</b></p> <p>To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• The extent to which the management of the project minimised UNEP's environmental footprint.</li> </ul>	<p><b>Final report:</b></p> <p>A clear and concise section in which the assessment of efficiency is made evident and all elements are included.</p>	6
<p><b>G. Monitoring and Reporting</b></p> <p>How well does the report assess:</p> <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (including SMART results with measurable indicators, resources for MTE/R etc.)</li> <li>• Monitoring of project implementation (including use of monitoring data for adaptive management)</li> <li>• Project reporting (e.g. PIMS and donor reports)</li> </ul>	<p><b>Final report:</b></p> <p>Clear and concise discussion providing succinct information on all 3 sections.</p>	6

<sup>22</sup> this project was designed to enhance coordination. The intended Impact was: Enhanced understanding and capacity of countries to implement the transparency framework of the Paris Agreement. The actual application of the resources and knowledge provided was entirely at the volition of the participants, over which CBIT GCP itself had little direct influence. CBIT was also a new concept and most CBIT countries have not yet, or only recently, embarked on CBIT implementation.

<p><b>H. Sustainability</b></p> <p>How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including:</p> <ul style="list-style-type: none"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability</li> </ul>	<p><b>Final report:</b></p> <p>The discussion covers all three dimensions and adequately identifies and assesses factors within each, which determine the levels of likelihood in each dimension that underpins the overall rating.</p>	<p>6</p>
<p><b>I. Factors Affecting Performance</b></p> <p>These factors are <u>not</u> discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b>. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> <li>• Preparation and readiness</li> <li>• Quality of project management and supervision<sup>23</sup></li> <li>• Stakeholder participation and co-operation</li> <li>• Responsiveness to human rights and gender equity</li> <li>• Environmental and social safeguards</li> <li>• Country ownership and driven-ness</li> <li>• Communication and public awareness</li> </ul>	<p><b>Final report:</b></p> <p>Good summary of cross-cutting issues in general. Institutional learning could be increased by taking the opportunity to see if any Human Rights can be addresses within the scope of the project. In this case Freedom of Information</p>	<p>5</p>
<p><b>VI. Conclusions and Recommendations</b></p> <p><b>i. Quality of the conclusions:</b> The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<p><b>Final report:</b></p> <p>The conclusion brings together the main findings and insights contained in the report. The strategic question set out in the TOR is addressed in this section as well as being covered throughout the report.</p>	<p>6</p>
<p><b>ii) Quality and utility of the lessons:</b> Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons are intended to be adopted any time they are deemed to be relevant in the future and must have the potential for wider application (replication and generalization) and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<p><b>Final report:</b></p> <p>The lessons are relevant and clear.</p>	<p>6</p>
<p><b>iii) Quality and utility of the recommendations:</b></p> <p>To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve</p>	<p><b>Final report:</b></p>	

<sup>23</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.



<p>concrete problems affecting the project or the sustainability of its results? (i.e. points of corrective action). They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when.</p> <p>At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given.</p> <p>Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p> <p>In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance.</p> <p>Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.</p>	<p>Section complete, recommendations are relevant, actionable and pragmatic.</p>	<p>6</p>
<p><b>VII. Report Structure and Presentation Quality</b></p>		
<p><b>i) Structure and completeness of the report:</b> To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?</p>	<p>Final report: The report follows the UNEP guidelines.</p>	<p>6</p>
<p><b>ii) Quality of writing and formatting:</b> Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?</p>	<p>Final report: The report is clear and well-written</p>	<p>6</p>
<p><b>OVERALL REPORT QUALITY RATING</b></p>		<p><b>5.2 Satisfactory</b></p>

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.