

**Validated Terminal Review of the UNEP-GEF Project
Strengthening Chile's Nationally Determined Contribution
(NDC) Transparency Framework (ID 9835)**

2020 – 2022



UNEP INDUSTRY AND ECONOMY DIVISION

Energy & Climate Branch

April 2023



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This report has been prepared by an external consultant as part of a Terminal Review, which is a management-led process to assess performance at the project's operational completion. The UNEP Evaluation Office provides templates and tools to support the review process and provides a formal assessment of the quality of the Review report, which is provided within this report's annexed material. In addition, the Evaluation Office formally validates the report by ensuring that the performance judgments made are consistent with evidence presented in the Review report and in-line with the performance standards set out for independent evaluations. As such the project performance ratings presented in the Review report may be adjusted by the Evaluation Office. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Programme Senior Management.

For further information on this report, please contact:

GEF Climate Mitigation Unit
Energy & Climate Branch
Economy Division
UNEP

(Strengthening Chile's Nationally Determined Contribution (NDC) Transparency Framework)
(UNEP/GEF 9835)
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The reviewer would like to express their gratitude to all persons met and who contributed to this review, as listed in Annex I.

The review team would like to thank the project team and in particular Mr Asher Lessels, Mrs Ana Celeste Schweiger; Mr Marco Heredia and Mrs Camila Margarita Labarca Wyneken for their contribution and collaboration throughout the review process. Sincere appreciation is also expressed to Marco Heredia and Asher Lessels who took time to provide comments to the draft report.

The review 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.

BRIEF CONSULTANT BIOGRAPHY

Natalia Aquilino is a political scientist and evaluation specialist. She has managerial experience in the governmental (Government of Argentina) and social sectors (CIPPEC, Evaluar), in the international intergovernmental sphere (UN, UNDP, UNEP) and in the high-tech industry (Neoris, Telecom Personal). She led multidisciplinary teams in Latin America, Africa and Argentina and managed expert knowledge in social and productive development, education, security and technology. She participated in international and intercultural research teams and change management processes for most of her career.

Natalia led more than 30 impact, outcome and process evaluation, designed M&E systems and advised on evaluation policies in Latin America and Argentina. Her research agenda includes evaluability of government programs, M&E systems design, policy influence strategies and accountability and her advocacy work aims at strengthening the institutionalisation of evaluation.

Natalia teaches planning and evaluation at postgraduate level for International and Argentinian National Universities such as ADEN School of Government (Panama), University of Bologna in Argentina (Italy), University of Saint Andrew and National Universities of Buenos Aires, Entre Ríos and Tucuman. She was founder and first chair of the Argentinean Evaluators Civil Association and is a member of the Argentinean Association of Public Administration Studies.

ABOUT THE REVIEW

Joint Review: No

Report Language(s): English.

Review Type: Terminal Review

Brief Description: This report is a Terminal Review of a UNEP/GEF 9835 project implemented between 2020 and 2022. The project's overall development goal was to "strengthen and improve transparency mechanisms of Chilean national institutions for domestic and UN conventions reporting". The review 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 review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and the relevant agencies of the project participating countries.

Key words: Climate change, Transparency Framework, mitigation and adaptation, climate data, public climate, expenditures, Institutionalization, Chile international reporting.

Primary data collection period: between November 2022 to February 2023, virtual.

Field mission dates: no field visit performed.

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LIST OF ACRONYMS

APR	Annual Project Reports
CC	Climate Change
CCM	Climate Change Mitigation
EOU	Evaluation Office of UNEP
ER	Emission reduction
GEF	Global Environment Facility
GHG	Greenhouse gas
IA	Implementing Agency
M&E	Monitoring and Evaluation
MoA	Memorandum of agreement
MoU	Memorandum of Understanding
MTE	Mid Term Evaluation
MTS	Medium Term Strategy
MVE	Monitoring, Verification and Enforcement
NC	National Coordinator
NDC	Nationally Determined Contribution
NGO	Non-Governmental Organisation
NSC	National Steering Committee
PCA	Project Cooperation Agreement
PIR	Project Implementation Review
PMU	Project management unit
PoW	Programme of Work
PRC	Project Review Committee (internal UNEP committee that approves new projects)
PRF	Project Results Framework
RPT	Regional Project Team
SD	Sustainable Development
SDG	Sustainable Development Goals
SMART	Specific, Measurable, Achievable, Realistic and Timely
ToC	Theory of Change
ToR	Terms of Reference
TPR	Regional Advisory Review
TTR	Terminal Regional Advisory Review
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

PROJECT IDENTIFICATION TABLE

Table 1. Project Summary

UNEP Sub-programme:	Climate change	UNEP Division/Branch	GEF Climate Mitigation Unit, Energy & Climate Branch, Industry and Economy Division
Expected Accomplishment(s):	Climate stability: Countries increasingly transition to low-emission economic development pathways and enhance their adaptation and resilience to climate change	Programme of Work Output(s): Programme of Work 2022-2023 Climate action sub programme	
SDG(s) and indicator(s)	<p>SDG 13: Take urgent action to combat climate change and its impacts</p> <p>Target 13.2: Integrate climate change measures into national policies, strategies and planning Indicator 13.2.1: Number of countries with nationally determined contributions, long-term strategies, national adaptation plans, strategies as reported in adaptation communications and national communications</p> <p>Target 13.3: Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning Indicator 13.3.2: Number of countries that have communicated the strengthening of institutional, systemic and individual capacity building to implement adaptation, mitigation and technology transfer, and development actions</p>		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7 ¹)	N/A		
Dates of previous project phases:	N/A	Status of future project phases:	N/A

FROM THE PROJECT'S PIR REPORT (latest version) :

Project Title:	Strengthening Chile's Nationally Determined Contribution (NDC) Transparency Framework
Executing Agency:	UNEP, Regional Office for Latin America and the Caribbean
Project partners:	Ministry of Environment (MMA)
Geographical Scope:	National

¹ This does not apply to Enabling Activities

Participating Countries:	Chile		
GEF project ID:	9835	IMIS number* ² :	N/A
Focal Area(s):	Climate Change	GEF OP #:	
GEF Strategic Priority/Objective:	Strengthening Chile's Nationally Determined Contribution (NDC) Transparency Framework	GEF approval date*:	15/03/2018
UNEP approval date:	15/03/2018	Date of first disbursement*:	18/07/2018
Actual start date ³ :	18/07/2018	Planned duration:	36 months
Intended completion date*:	31/03/2022	Actual or Expected completion date:	31/03/2022
Project Type:	CBIT	GEF Allocation*:	US\$ 1,232,000
PPG GEF cost*:	30,000	PPG co-financing*:	0
Expected MSP/FSP Co-financing*:	US\$ 870,000	Total Cost*:	UD\$ 1,262,870
Mid-term Review/eval. (planned date):	N/A	Terminal Evaluation (planned date):	October 2022
Mid-term Review/eval. (actual date):	N/A	No. of revisions*:	2
Date of last Steering Committee meeting:	06/12/2021	Date of Last Revision*:	20/04/2021
Disbursement as of 30 June 2022*:	US\$ 1,207,000	Date of planned financial closure*:	31/05/2023
Date of planned completion ⁴ *:	31/03/2022	Actual expenditures reported as of 30 June 2022 ⁵ :	US\$ 1.198.101

² Fields with an * sign (in yellow) should be filled by the Fund Management Officer

³ Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

⁴ If there was a "Completion Revision" please use the date of the revision.

⁵ Information to be provided by Executing Agency/Task Manager

Total co-financing realised as of 31 June 2022:	\$1,030,159 (118%)	Actual expenditures entered in IMIS as of 31 December 2022*:	N/A
Leveraged financing: ⁶	0		

⁶ See above note on co-financing.

EXECUTIVE SUMMARY

A. PROJECT BACKGROUND

1. The Paris Agreement (PA) calls for a robust system of Measurement, Reporting and Verification (MRV) to provide information on the measures taken and the support received, provided or accounted for by the NDC or internationally transferred. Article 4th of the Paris Agreement (PA) requests for a full, exhaustive, comparative, and robust account of the measures and action, for the Convention to be able to clearly assess the progressions and achievements made.

2. In particular, climate change is an increasingly important issue for Chile, since the country is vulnerable to diverse impacts, due to its geography and socio-economic characteristics. The Global Climate Risk Index by Germanwatch (2016) ranks Chile as number 10 on the most affected countries in 2015⁷. For that reason, the government is putting in place many of the elements required for an effective policy response to climate change.

3. Chile has maintained a progressive vision on climate action transparency. For instance, it was the first Latin-American country to submit a Biennial Update Report (BUR) in 2014, while its second BUR was submitted in 2016 (Conference of the Parties (COP) 22) then in 2016, 2018, 2020 and fifth in 2022. In that sense and although the orientations, modalities, procedures and guidelines for implementing the [Enhanced Transparency framework](#) (ETF) were under revision of the Ad Hoc Working Group on the Paris Agreement (APA)⁸ Chile was already adapting its own framework, considering its own necessities and priorities as established in its NDC when this project was conceived.

4. Key points to adapt Chile's framework included approaches to plan mitigation strategies to ensure the NDC target is achieved cost-effectively. Mitigation planning had required updates and increased levels of ambition in order to achieve NDC targets (eventually, mitigation actions may not be as effective as initially planned). Tracking progress can be facilitated by breaking the overall NDC target for 2030 into a number of intermediate and closer targets. Planning towards cost-effective mitigation trajectories and avoiding technology lock-in can best be done based on a long-term mitigation target and a long-term mitigation strategy. However, due to delays in reporting and the long-term timeframe required for planning and implementing mitigation actions, tracking ex-post progress based on Greenhouse Gases (GHG) inventory data (currently available with a delay of 3 years) and intermediate targets, leads to inadequate responses; mitigation planning would be updated too late to be useful.

5. Alternatively, emission projections including the expected GHG reductions through implemented and planned mitigation measures could regularly be compiled, updated as necessary, and compared to intermediate targets, thus providing ex-ante information on progress. This can be used to adjust mitigation planning early on.

6. The [GEF Capacity-building Initiative for Transparency \(CBIT\)](#) support was meant to help Chile become a benchmark for the region in terms of the ETF, allowing it to implement and test systems related to transparency which have not been implemented in developing countries ever before. The implementation of these approaches would not only be of great benefit for Chile, but also for the rest of the region, and for developing countries worldwide.

7. A key milestone in this path was the voluntary commitment made in Copenhagen (COP15), which indicated Chile would perform Nationally Appropriate Mitigation Actions (NAMA) to achieve a deviation of 20% below the increasing trajectory of the 'business-as-usual' (BAU) emissions by 2020, forecasted since 2007. Still, Chile counted with no robust information regarding the progress of this

⁷ <https://germanwatch.org/en/download/16411.pdf>

⁸ Decisions adopted by the Framework Convention on Climate Change (FCCC) on March 18th, 2019: https://unfccc.int/sites/default/files/resource/cma2018_3_add2_new_advance.pdf#page=18

commitment, mainly due to a lack of definition of the official BAU baseline and despite that was a national goal to assess this effort as soon as possible.

8. After the Copenhagen commitment, the climate agenda in the country has gained strength. The National Action Plan on Climate Change 2017-2022 (PANCC II) included in its strategic pillars both issues of Adaptation and Mitigation. The objectives of these pillars are focused on the implementation of actions and the development of key elements to help Chile comply with the international commitments, including transparent reporting, and designing a long-term climate strategy.

9. One of the first steps to assess Chilean performance and to achieve proper and transparent reporting was the improvement of the National GHG inventory (NGHGI), which has been systematically enhanced to provide the best information available about emission features, sinks and trends. The NGHGI is periodically updated to comply with United Nations Framework Convention on Climate Change (UNFCCC) requirements.

10. However, the inventory was not developed enough in order to evaluate the actions taken to reduce the climate change impacts of Chile's development. **A broader analysis of the mitigation initiatives and a robust system to gather information about the implementation of the NDC was needed.** This would be useful not only to transparently inform the efforts taken by the country but also to enhance the planning of Chile's future climate pledges.

11. After the public announcement of the first iNDC and the adoption of the PA, MRV initiatives were assessed in order to identify the level of improvement and strengthening needed to serve as the basis for a new national tracking system under the ETF. This also included the challenge of measuring the progress not only for mitigation but also for adaptation actions as well. In that sense, Chile recognized the lack of metrics for tracking adaptation when the project was designed.

12. In this context, the Project objective was to **Strengthen and improve transparency mechanisms of Chilean national institutions for domestic and UN conventions reporting** through a) Strengthening of Chile's Transparency framework for mitigation and adaptation actions and b) Institutionalisation of the public climate expenditures. Main project outcomes included: Climate data and analysis is integrated into policy making and international reporting; Chile's NDC is being tracked and evaluated; and Public institutions report their climate expenditures and support received.

B. THIS REVIEW

13. This Terminal Review (TR) was undertaken from November 2022 to March 2023 and was guided by the Terms of Reference cited in Annex I in line with the UNEP Evaluation Policy, the UNEP Programme Manual and the Guidelines for GEF Agencies in Conducting Terminal Evaluations. The Terminal Review (TR) was undertaken at operational 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.

14. The Review 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 and UN Environment, Regional Office for Latin America, and the Caribbean (ROLAC) in representation of the Ministry of Environment. The TR is intended to identify lessons of operational relevance for future project formulation and implementation in particular CBIT II phase.

15. The primary focus was to ascertain from key stakeholders the effectiveness of the Project in enhancing Chile's Transparency Framework. Stakeholder consultations under this TR focused on confirming the actual outcomes of the Project, and the surrounding circumstances of these outcomes.

16. Data collection came mainly from Project reports related to the Project, interviews with relevant stakeholders (the Project team, National Executing partners, Project partners). Methods used to

ascertain information for the TR included a desktop review of the associated Project documents, 8 virtual interviews (all females) with stakeholders from different organisations and 8 on line responses from a questionnaire to survey key actors (detailed under section Review Methods, Data Collection Process).

17. Limitations to this TR included lack of access to beneficiaries, time restrictions leading to no field visit being made, weak recall among respondents due to significant time lapse between operational completion of the Project and the evaluation data collection period, and a lack of access to key project personnel due to vacations period that coincide with the TR. The mitigating strategy for the limitation of Project information was the establishment of a credible association between the implementation of Project activities and observed positive effects where a strong causal narrative can be made to a chronological sequence of events, and the active involvement and engagement in critical processes of key actors.

C. KEY FINDINGS

18. In terms of the quality of design, the overall assessment **score is Satisfactory (5.00 out 5.16)** mainly due to: highly satisfactory Strategic Relevance, Governance and Supervision Arrangements; Financial Planning / Budgeting; Efficiency and Risk identification and Social Safeguards. Satisfactory or Moderately sections are Project Preparation; Intended Results and Causality; Logical Framework and Monitoring; Partnerships; Learning, Communication and Outreach; Sustainability / Replication and Catalytic Effects and Identified Project Design Weaknesses/Gaps. The Operating context is the only one section with a Moderately Unsatisfactory rating.

19. It important to mention that even though the Project Document did not identify likelihood of unexpected events at design stage, significant social and political conflicts existed during project execution: the social conflict that started in 2019 and the deepening of the economic crisis brought about by the COVID-19 pandemic required a complete shift in government priorities that concentrated efforts in minimising the negative impacts of the sanitary pandemic in the country, and also necessitated a redesign of processes and products in order to facilitate a re-boosting of the economy through green growth and putting citizens at the top of the agenda. The project was successful in overcoming unexpected events and delivering results through online and remote management strategies.

20. In terms of project rating, the overall assessment **score is Highly Satisfactory (5.68 out of 6)**. The project succeeded in strengthening and improving transparency mechanisms of Chilean national institutions for domestic and UN conventions reporting, making a great contribution to the Climate Change Framework Law both during the legislative debate and the approval of the national bill number [21.455 from May 30th 2022](#). This legislated statute establishes a goal of carbon neutrality and climate resilience for Chile no later than in 2050 and prescribes concrete actions for 17 ministries to address climate change. Nevertheless, the budget assigned to implement the law was valued as “low” by project stakeholders consulted.

D. CONCLUSIONS

21. Based on the findings from this review, the project demonstrates performance at the ‘Highly Satisfactory’ level (a table of ratings against all review criteria is found in the Conclusions section, below). The project has demonstrated strong performance in the areas of Strategic Relevance; Nature of External Context; Effectiveness; Financial Management; Efficiency; Sustainability and Factors Affecting Performance. The area that would have benefited from further attention is Quality of Project Design.

E. LESSONS LEARNED

22. Lesson 1: Building a robust and integrated platform in the context of projects that aim at coordinating data from different Ministries and ensuring systems interoperability is key. It needs to be built upon existing systems and facilitated by process workflows modelled on daily management activities to be sustainable in time.

23. Lesson 2: A robust, cohesive and lasting project team contributes to the long term impact of the Project strengthening the link between decision makers and implementing partners and guaranteeing the political vision is reached.

24. Lesson 3: Project management teams need to be properly trained for executing project closure procedures to properly end activities. Termination activities need to be planned in advance and led by trained personnel to accompany planned work plans and reach their target on time.

F. RECOMMENDATIONS

25. Recommendation 1: Enhance the integration of the Chilean MRV framework into interministerial coordination and ministerial activities, including with the support of GEF projects.

26. Recommendation 2: Dedicate time and resources in UNEP/GEF projects to plan and prepare well in advance the executing arrangements to minimise procurement and closing process delays.

27. Recommendation 3: Use UN convening power to more effectively promote knowledge exchange and communication of results including through promotion of South-South and horizontal cooperations.

G. VALIDATION

28. The report has been subject to an independent validation exercise performed by UNEP's Evaluation Office. The performance ratings for this project, set out in the Conclusions and Recommendations section (p59), have been adjusted slightly as a result. The Evaluation Office validates the overall project performance as 'Satisfactory'.

I. INTRODUCTION

29. In March 2018, the Global Environmental Facility (GEF) granted approval for the commencement of the Project “Strengthening Chile’s Nationally Determined Contribution (NDC) Transparency Framework” (herein referred to as “the Project”) which had as its strategic priority, the need to strengthen and improve the transparency mechanisms of Chilean national institutions for domestic and UN convention reporting. The Project was implemented by the UN Environment Programme (UNEP) under its Climate Change Mitigation Unit, Energy Branch, Industry and Economy Division. It was executed by the National Government of Chile under the Ministry of Environment.

30. The Project contributed to:

- [UNEP Medium-Term Strategy \(MTS\) 2018 to 2021](#), specifically “Environmental Governance, Promoting policy coherence and strong legal and institutional frameworks to achieve environmental goals in the context of sustainable development” and “Environment under Review, Keeping the environment under review to empower stakeholders to deliver the environmental dimension of sustainable development”
- [Corporate Results Framework](#): 1) Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society; 2) Sustainable land management in production systems (agriculture, rangelands, and forest landscapes); 3) Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services; 4) Support to transformational shifts towards a low-emission and resilient development path; 5) Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern and 6) Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks.

31. While approved on March 15th 2018 by UNEP and GEF, the Project commenced operations on July 18th 2018 with an intended completion date of March 31st 2022.

32. The Project was supported by a GEF grant of USD US\$ 1,232,000 and a planned co-financing (cash and in-kind) of USD 870,000 with a planned total project budget of USD 2,102,000.

33. In line with the [UNEP Evaluation Policy](#), this Terminal Review was undertaken 6 months after completion of the Project (and completed 48 months after the beginning of project) to assess its performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the activities of the Project including sustainability. This Terminal Review serves 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 from UNEP, the 5Cs and other executing partners. Therefore, the TR is intended to identify lessons of operational relevance for future project formulation and implementation.

34. The TR is structured in five sections. The first addresses the review methods used to develop the report. The second details the project context, design, implementation and financing. The third section analyses the Theory of Changed (ToC) based on the previous Inception Report (IR). The fourth summarises all review findings according to UNEP review criteria (strategic relevance, quality of project design, nature of the external context, effectiveness, financial management, efficiency, monitoring and reporting, sustainability, factors affecting performance and cross-cutting issues) plus the specific questions solicited by the Terms of Reference (see Annex II for a complete version). Finally, the TR proposes conclusions and recommendations in the fifth section. Methodological annexes follow the report for further information.

II. REVIEW METHODS

A. UNEP'S REVIEW APPROACH

35. This Management Led Terminal Review (TR) is guided by the Terms of Reference included in Annex VII, and undertaken in line with the UNEP Evaluation Policy, the UNEP Programme Manual and the Guidelines for GEF Agencies in Conducting Terminal Evaluations. This TR has been carried out using a set of 9 commonly applied review criteria which include: (1) Strategic Relevance⁹; (2) Quality of Project Design; (3) Nature of External Context; (4) Effectiveness (including availability of outputs; achievement of outcomes and likelihood of impact); (5) Financial Management, (6) Efficiency, (7) Monitoring and Reporting, (8) Sustainability and (9) Factors Affecting Project Performance and Cross-Cutting Issues (see Annex VII for Evaluation Framework Matrix for more details on each review criterion).

36. Most review criteria are rated on a 6-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU). The ratings against each criterion are "weighted" to derive the Overall Project Performance Rating. The greatest weight is placed on the achievement of outcomes, followed by dimensions of sustainability.

37. For the matrix of ratings levels for each criterion, the UNEP Evaluation Office has developed detailed descriptions of the main elements required to be demonstrated at each level (i.e. Highly Satisfactory to Highly Unsatisfactory) for each review criterion. The TR has considered all the evidence gathered during the review in relation to this matrix in order to generate review criteria performance ratings.

38. In addition to the review criteria mentioned before, the Review addresses questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution:

- a) Under Monitoring and Reporting/Monitoring of Project Implementation: What was the performance at the project's completion against Core Indicator Targets?
- b) Under Factors Affecting Performance/Stakeholder Participation and Cooperation: What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR?

39. Besides, the TR addresses the five questions that are required when reporting in the GEF Portal: Q1: Did the State and non-State actors participating in the project adopt the enhanced transparency framework arrangements under the Paris Agreement?; Q2: Does the country Strengthen and improve transparency mechanisms of National institutions for domestic and UN conventions reporting?; Q3: Did the State and non-State actors participating in the project adopt the new tools developed by the project; Q4: Was the project executed efficiently? and Q5: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?

B. REVIEW PROCESS

40. The TR adopted a participatory approach, consulting with Project team members, and partners. Central to the review was the analysis (and reconstruction) of the Project's Theory of Change. Consultations were held during the review inception phase to arrive at a nuanced understanding of how the project intended to drive change and what contributing conditions ('assumptions' and 'drivers') would need to be in place to support such change.

⁹ This criterion includes a sub-category on Complementarity, which closely reflects the OECD-DAC criterion of 'Coherence', introduced in 2019. Complementarity with other initiatives is assessed with respect to the project's design. In addition, complementarity with other initiatives during the project's implementation is assessed under the criterion of Efficiency.

41. The primary focus for the TR was to ascertain from key stakeholders the effectiveness of the Project. Stakeholder consultations focused on confirming the actual outcomes of the Project, and the surrounding circumstances of these outcomes. These outcomes could have led to intermediate states and intended impacts.

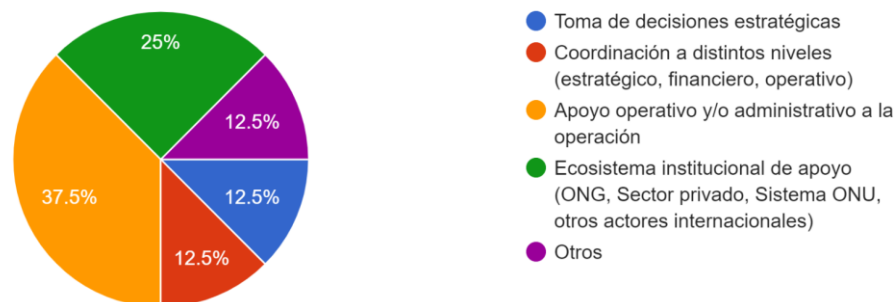
C. DATA COLLECTION PROCESS

42. Data collection came mainly from Project documentation that includes:

- a) Project reports available: Inception Workshop (IW) and Report; Half-yearly progress report; Quarterly financial reports; Project Implementation Review (PIR); Final Report
- b) Interviews with relevant stakeholders: Annex IV presents a summary of persons consulted during the TR through interviews and the online survey.
- c) Stakeholder analysis: revision and systematisation of public data available online in Chile's national government web pages mainly.
- d) Online Survey: a closed questionnaire was designed to gather different views on impact and outcomes among actors linked to project design and implementation. The survey is available as Annex V (in Spanish). The survey was answered by 8 persons with different roles: 37,5% from operations and administrative areas; 25% from the institutional ecosystem (NGO, private sector and UN); 12,5% from strategic positions; 12,5% coordination functions and 12,5% other positions as can be seen in the graph.

1. ¿Cómo calificaría su rol durante la ejecución del proyecto?

8 respuestas



43. Different key groups consulted about the Project included:

- e) The Executing Agency. This involved interviews with team members from the UNEP's Office for Latin America and the Caribbean (ROLAC).
- f) The Project Management team. This involved interviews with the Project Management Unit, the Office of Climate Change at the Ministry of Environment at Chile's National Government.
- g) National Executing partners. This involved implementation partners in different Ministries.

D. LIMITATIONS AND MITIGATION STRATEGY

44. There were several limitations on this TR:

- constraints on time and resources including an attempted field trip to Santiago de Chile that couldn't be performed.
- no contact with members of the Transparency Task Force.
- weak recall among respondents due to significant time lapse between operational completion of the Project and the review data collection period.
- lack of access to key project personnel. These persons were simply not available to comment on the Project because the TR coincided with Chile's vacation schedule.

45. The mitigation strategy for the limitation of Project information was the establishment of a credible association between the implementation of Project activities and observed positive effects where a strong causal narrative can be made to a chronological sequence of events, and the active involvement and engagement in critical processes of key actors.

III. THE PROJECT

A. CONTEXT

46. Problem Statement. The Paris Agreement (PA) calls for a robust system of Measurement, Reporting and Verification (MRV) to provide information on the measures taken and the support received, provided or accounted for the Nationally Determined Contribution (NDC) or internationally transferred. NDCs embody efforts by each country to reduce national emissions and adapt to the impacts of climate change. Article 4th of the Paris Agreement (PA) requests for a full, exhaustive, comparative, and robust account of the measures and actions, for the Convention to be able to clearly assess the progressions and achievements made.

47. In particular, climate change is an increasingly important issue for Chile, since the country is vulnerable to diverse impacts, due to its geography and socio-economic characteristics. The Global Climate Risk Index by Germanwatch (2016) ranks Chile as number 10 on the most affected countries in 2015¹⁰. For that reason, the government is putting in place many of the elements required for an effective policy response to climate change. Chile has maintained a progressive vision on climate action transparency. For instance, it was the first Latin-American country to submit a Biennial Update Report (BUR) in 2014, while its second BUR was submitted in 2016 (Conference of the Parties (COP) 22) then in 2016, 2018, 2020 and fifth in 2022. In that sense and although the orientations, modalities, procedures and guidelines for implementing the [Enhanced Transparency framework](#) (ETF) were under revision of the Ad Hoc Working Group on the Paris Agreement (APA)¹¹ Chile was already adapting its own framework, considering its own necessities and priorities as established in its NDC when the project was conceived.

48. Key points to adapt Chile's framework included approaches to plan mitigation strategies to ensure the NDC target is achieved cost-effectively. Mitigation planning had required updates and increased levels of ambition in order to achieve the NDC target (eventually, mitigation actions may not be as effective as initially planned). **Tracking progress can be facilitated by breaking the overall NDC target for 2030 into a number of intermediate and closer targets.** Planning towards cost-effective mitigation trajectories and avoiding technology lock-in can best be done based on a long-term mitigation target and a long-term mitigation strategy. However, due to delays in reporting and the long-term timeframe required for planning and implementing mitigation actions, tracking ex-post progress based on Greenhouse Gases (GHG) inventory data (currently available with a delay of 3 years) and intermediate targets, leads to inadequate responses; mitigation planning would be updated too late to be useful. Alternatively, emission projections including the expected GHG reductions through implemented and planned mitigation measures could regularly be compiled, updated as necessary, and compared to intermediate targets, thus providing ex-ante information on progress. This can be used to adjust mitigation planning early on.

49. Justification for the intervention. The [GEF Capacity-building Initiative for Transparency \(CBIT\)](#) support was meant to help Chile become a benchmark for the region in terms of the ETF, allowing it to implement and test systems related to transparency which have not been implemented in developing countries ever before. The implementation of these approaches would not only be of great benefit for Chile, but also for the rest of the region, and for developing countries worldwide. A key milestone in this path was the voluntary commitment made in Copenhagen (COP15), which indicated Chile would perform Nationally Appropriate Mitigation Actions (NAMA) to achieve a deviation of 20% below the increasing trajectory of the 'business-as-usual' (BAU) emissions by 2020, forecasted since 2007. Still, Chile counted with no robust information regarding the progress of this commitment, mainly due to a lack of definition of the official BAU baseline and despite that was a national goal to assess this effort as soon as possible.

¹⁰ <https://germanwatch.org/en/download/16411.pdf>

¹¹ Decisions adopted by the Framework Convention on Climate Change (FCCC) on March 18th, 2019: https://unfccc.int/sites/default/files/resource/cma2018_3_add2_new_advance.pdf#page=18

50. After the Copenhagen commitment, the climate agenda in the country has gained strength. The National Action Plan on Climate Change 2017-2022 (PANCC II) included in its strategic pillars both issues of Adaptation and Mitigation. The objectives of these pillars are focused on the implementation of actions and the development of key elements to help Chile comply with the international commitments, including transparent reporting, and designing a long-term climate strategy.

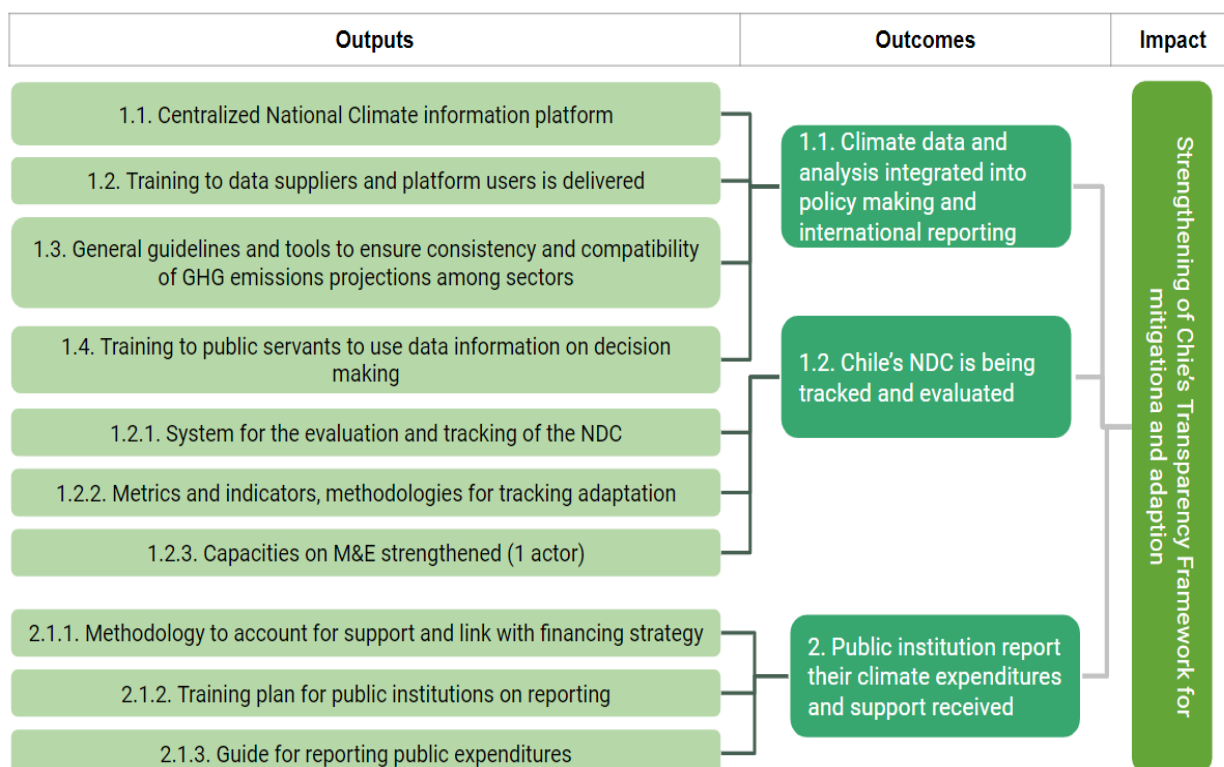
51. One of the first steps to assess Chilean performance and to achieve proper and transparent reporting was the improvement of the National GHG inventory (NGHGI), which has been systematically enhanced to provide the best information available about emission features, sinks and trends. The NGHGI is periodically updated to comply with United Nations Framework Convention on Climate Change (UNFCCC) requirements. However, the inventory was not developed enough in order to evaluate the actions taken to reduce the climate change impacts of Chile's development. **A broader analysis of the mitigation initiatives and a robust system to gather information about the implementation of the NDC was needed.** This would be useful not only to transparently inform the efforts taken by the country but also to enhance the planning of Chile's future climate pledges.

52. After the public announcement of the first INDC and the adoption of the PA, MRV initiatives were assessed in order to identify the level of improvement and strengthening needed to serve as the basis for a new national tracking system under the ETF. This also included the challenge of measuring the progress not only for mitigation but also for adaptation actions as well. In that sense, Chile recognized the lack of metrics for tracking adaptation when the project was designed. So far, almost all advances, in terms of transparency and MRV, have been undertaken with international support received in the last years. The projects indicated below and developed in Chile had the design, direct execution and leadership of professionals from the Climate Change Division in the Ministry of the Environment, being a basis for the creation of this team's capabilities.

B. OBJECTIVES AND COMPONENTS

53. The Project Objective was to Strengthen and improve transparency mechanisms of Chilean national institutions for domestic and UN conventions reporting. The Project was composed of 2 components which provided the overarching structure for implementation of Project activities into 3 outcomes and 10 outputs.

Figure 1. Theory of Change



C. STAKEHOLDERS

54. **Strong inter ministerial scheme.** Main project stakeholders belong to governmental institutions under the Chilean State and included organisations from six different Ministries, interministerial coordination spaces at the higher level, Academia, civil society organisations and United Nations System Agencies. In addition to these main institutions, it was considered that other ministries members of the Council of Ministries for Sustainability and Climate Change had a participation in the activities designed specifically for each output. Table 2 shows the detailed analysis of their core responsibilities and project involvement type.

Table 1. Chile CBIT 9835 Stakeholder roles, participation and activity involvement

Name of stakeholders	Responsibility / expertise	Role in the project
The Permanent Presidential Advisory Commission on Climate Change.	It is multisectorial integrated by more than 30 members composed of experts from civil society (public and private sector), authorities and representatives of organisations. Its mission is to advise the Presidency of the Republic in everything related to the identification and formulation of policies, plans, programs, measures and other activities related to climate change, as well as compliance with Chile's international commitments, in particular, the Paris Climate Agreement, and in the elaboration and proposal of a national climate policy.	It will be a common work space, with a long-term, intergenerational, cross-sectoral and multisectoral approach that contributes to the development of this subject.

Division of Climate Change, Ministry of Environment (DCC)	The Division of Climate Change is the main coordinator of climate activities in Chile on behalf of the Ministry of Environment. In charge of the elaboration of National Action Plans, Adaptation National Plans, National GHG Inventories, MRV guidelines and the reports for the UNFCCC	The role of the Division of Climate Change will be the overall coordination of the activities defined by the project. DCC will ensure the efficient communication with the other stakeholders
Division of information and environmental economics, Ministry of Environment	Department in charge of designing the MRV system of the MBI (CO ₂ Tax), also the coordinator of the Chilean Environmental status report.	They will make part of the coordination system for public institutions that will be established under Outcome 1.1. They will be trained on how to insert and how to use data in the platform.
Division of Sustainability and Climate Change, Ministry of Energy	Department in charge of the mitigation action plan of the Energy sector, and also focal point of the PMR project.	Since the Energy sector is the main emitter in the country, the Ministry of Energy has led a sectoral mitigation plan to comply with the NDC. The role in the project will be part of the coordination system for public institutions and they will be trained in the use of tools for evaluating mitigation impacts and adaptation metrics among others.
Division of Prospective and Energy Policies, Ministry of Energy	Division in charge of National Energy Balance elaboration and Energy sector of the National Inventory. It is also the division which produces energy projections	They will be a key part of the NDC monitoring systems, since they provide information on projections related to energy demand. They are also part of the National GHG Inventory System in charge of the Energy GHG Inventory so they will be an active member in Outcomes 1.1 and 1.2.
Interministerial Technical Team for Climate Change (ETICC) ¹²	Inter-ministerial team comprising the focal points in major ministries.	The team will be capacitated and technical

¹² The Interministerial Technical Team for Climate Change or ETICC was created through the National Plan for Adaptation to Climate Change in 2014, being formed for the first time in 2015, then it was ratified as the coordinating body in the PANCC 2017-2022, and was formalised through Exempt Resolution No. 430, of May 9, 2019, which constitutes the Interministerial Technical Team for Climate Change "ETICC" and which in its article 1 indicates; "Create the Inter Ministerial Technical Team for Climate Change, hereinafter "ETICC", an organisation that will be responsible for supporting the Ministry of the Environment in the preparation, implementation and monitoring of instruments on climate change. The ETICC will have an intersectoral and technical nature, and made up of the representatives of the institutions, they will be competent in matters of climate change".

		sub-working groups will be created.
ODEPA, Ministry of Agriculture	Ministerial focal point on issues related to climate change mitigation and adaptation, in charge of the coordination of all institutions of the Ministry of Agriculture.	They will make part of the coordination system for public institutions that will be established under Outcome 1.1. They will be trained on how to insert and how to use data in the platform. As well they will be an active part in the work on adaptation metrics since they are responsible for the agricultural adaptation plan.
Ministry of Foreign Affairs	UNFCCC national focal point and the institution in charge of leading international relations. The Division of Environment (DIMA) participates directly in the Independent Association of Latin America and the Caribbean (AILAC) group.	They will make part of the coordination system for public institutions that will be established under Outcome 1.1. They will be a key member in the group which defined the monitoring system for the NDC and will ensure the coherence with the Paris agreement.
Ministry of Finance	Focal point of the Green Climate Fund and institution in charge of the elaboration of the National Finance Strategy for Climate Change	They will participate as a part of the working group on Outcomes 1.1 and 1.2, and they will be a relevant stakeholder in component 2 of the project, since they will validate the information gathered from other ministers and will use the analysis of the public expenditure as an input in the construction of the National Finance strategy.
Climate Change and Sustainability Agency (ASSC)	Recently created (incorporating previous activities of CPL, Center for the promotion of cleaner production), also the CTCN NDE, will be the institution in charge of keeping clean production agreements and engaging the private sector in climate activities.	They will also help the Ministry of Environment in the local implementation of mitigation and adaptation measures. They are an institution in charge of application of activities and coordination with private sector, their scope is to help with the compliance of the NDC, their role will be to participate in Outcomes 1.1 and 1.2 giving relevant information on implementation, participate in the trainings and be part of the working group for

		defining the system of NDC tracking.
Ministry of Science and Technology	The former National Commission for Scientific and Technological Research (CONICYT) becomes the National Research and Development Agency in 2020.	The Ministry is interested to participate specifically in component 2 on reporting climate finance received.
Regional Committees on Climate Change (CORECC) ¹³	The main function of CORECC is to promote and facilitate the preparation and implementation, at the regional and local level, of policies, plans and actions on climate change, according to regional and local needs and possibilities.	CORECC will collaborate on a voluntary basis and will receive support from the project on elaborating and testing adaptation indicators under Activity 1.2.3.3.
Members of the academia	The different academic centres, such as CR2 and <i>Centro de Cambio Global</i> , generate important information on climate change. Academia members are considered as members of the regional councils on Climate Change (CORECC) defined in the National Adaptation Plan.	They will provide important information and experience related to mitigation scenarios, since they were involved in the MAPS project. They will be invited to participate in training, workshops and meetings in order to have an efficient exchange of knowledge and best practices. Some members may be invited to be part of an independent advisory group on low carbon pathways if created.
Business NGOs	Group of Business Leaders against Climate Change	The private sector and its representatives (among them, the CLG) will be invited to participate in the discussion and development process of the "long-term low emission development strategy (LT-LEDS)" or a similar instrument that will be agreed to generate for strengthen long-term climate planning and guide the design of the next NDCs.
UN Environment ROLAC	Regional Office of UN Environment for Latin America and the Caribbean	ROLAC will provide execution support to the Ministry of Environment (MMA) which is the Executing Agency.

¹³ The CORECCs are the fundamental component of the operational structure for climate change at the regional level, which will allow the identification and implementation of climate change adaptation and mitigation actions in the territories and facilitate the execution of national climate change policies. These guarantee inter-institutional coordination at the regional level, improving efficiency and avoiding duplication of expenses and efforts.

55. The participation of the private sector and non-state actors in the development and subsequent operation of the proposal focused on the activities of two components of the project: (a) the climate information platform and (b) the prospective and monitoring system for implementation of the NDC.

56. Although the country didn't have national guidelines to mainstreaming gender equality within policies associated with climate change, Chile proposed to integrate this perspective following the statement made by The Commission on the Status of Women (CSW) in its session's conclusion in March 2011: "Incorporation of Gender Equality and the Empowerment of Women in Policies and Strategies for Climate Change". Efforts were also made to maintain an acceptable gender representation in project management structures (committees, institutional frameworks) and capacity building actions (trainings, workshops).

D. PROJECT IMPLEMENTATION STRUCTURE AND PARTNERS

57. Project is funded by the Global Environment Facility (GEF) with the United Nations Environment Programme (UN Environment) acting as the GEF Implementing Agency. The Ministry of Environment (MMA) is the Executing Agency with execution support from the Regional Office for Latin America and the Caribbean (ROLAC), as per the request letter from the country. The structure is illustrated in the diagram below and roles and responsibilities of each body are detailed in the following table.

Table 2. Chile CBIT 9835 Project governance

Body	Composition	Role and description	Frequency of meetings
Project Steering Committee (PSC)	<ul style="list-style-type: none"> - National Project Director (NPD) - Project Manager (PM) - UN Environment - Ministry of Environment - Ministry of Energy - Ministry of Finance - Ministry of Public Works and Transportation - Ministry of Livestock and Agriculture - Agency of Sustainability and Climate Change - Members of the academia - NGOs acting on Climate Change 	<ul style="list-style-type: none"> • Oversight of the project progress and implementation of Outputs; • Approve annual work plans and budget; • Approve management decisions to ensure timely delivery of quality outputs; • Provide overall guidance and strategic direction; • Mobilise national stakeholders to support project implementation, as well as provide synergies with other complementing initiatives and ongoing projects; • Address logistical issues, e.g. through organisation of meetings and provision of relevant facilities; • Provide insight on national policy barriers and proposed stages of national policy development 	Twice a year
Implementing Agency (IA)	UN Environment Climate Change Mitigation Unit	<ul style="list-style-type: none"> • Ensure timely disbursement/sub-allotment to executing agency, based on agreed legal document and in accordance with UN Environment and GEF fiduciary standards • Follow-up with Executing agency for progress, equipment, financial and audit reports 	Periodic meetings with PMU and EA

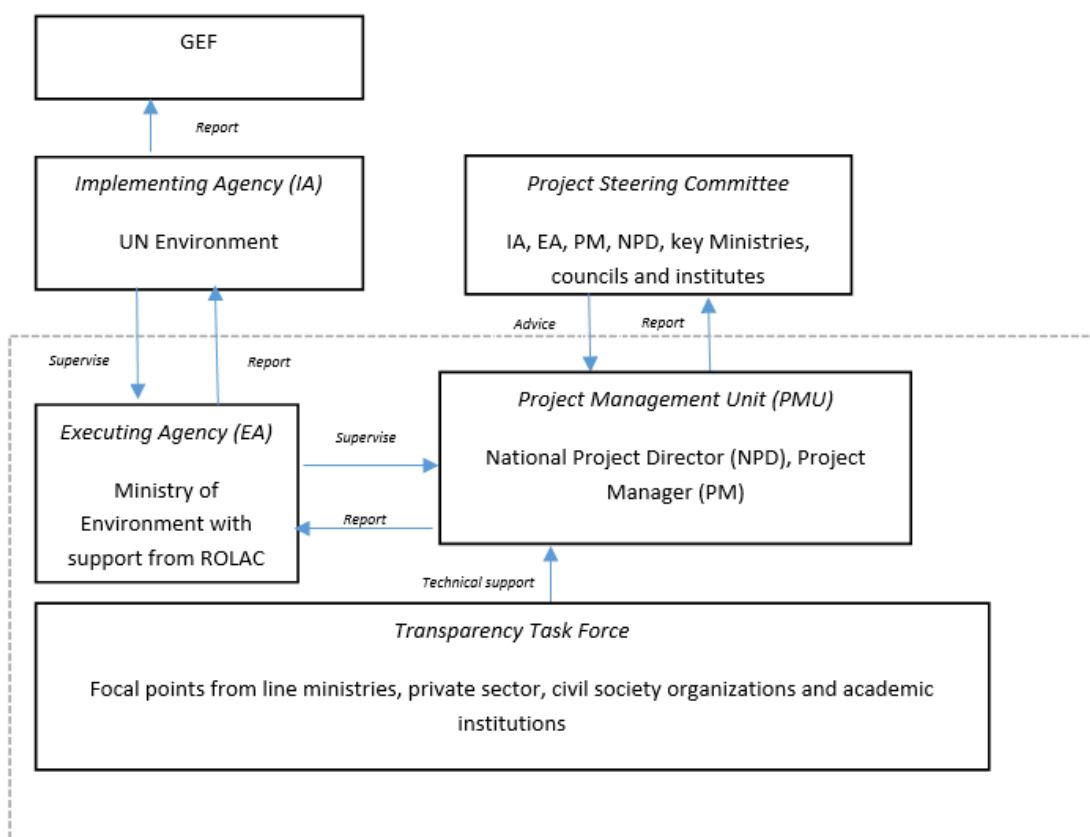
Body	Composition	Role and description	Frequency of meetings
		<ul style="list-style-type: none"> ● Provide consistent and regular oversight on project execution and conduct project supervisory missions as per Supervision Plans and in doing so ensures that all UN Environment and GEF criteria, rules and regulations are adhered to by project partners; ● Technically assess and oversee quality of project outputs, products and deliverables – including formal publications ● Provide on-objection to main TORs and subcontracts issued by the project, including selection of project manager or equivalent ● Attend and facilitate inception workshops, field visits where relevant, and selected steering committee meetings ● Assess project risks, and monitor and enforce a risk management plan ● Regularly monitors project progress and performance and rates progress towards meeting project objectives, project execution progress, quality of project monitoring and evaluation, and risk; ● Monitor reporting by project executing partners and provides prompt feedback on the contents of the report; ● Promptly informs management of any significant risks or project problems and takes action and follows up on decisions made; ● Apply adaptive management principles to the supervision of the project ● Review of reporting, checking for consistency between execution activities and expenditures, ensuring that it respects GEF rules, ● Clearance of cash requests, and authorization of disbursements once reporting found to be complete ● Approve budget revision, certify fund availability and transfer funds ● Ensure that GEF and UN Environment quality standards are applied consistently to all projects, including branding and safeguards ● Certify project operational completion ● Link the project partners to any events organised by GEF and UN Environment to disseminate information on project results and lessons ● Manage relations with GEF 	

Body	Composition	Role and description	Frequency of meetings
Executing Agency (EA)	Ministry of Environment (MMA) with execution support from the UN Environment Regional Office for Latin America and the Caribbean (ROLAC)	<ul style="list-style-type: none"> • Ensure that the project meets its objectives and achieves expected outcomes; • Ensure technical execution according to the execution plan laid out in the project document; • Ensure technical quality of products, outputs and deliverables; • Ensure compilation and submission of progress, financial and audit reporting to IA; • Submit of budget revisions to IA for approval; • Address and rectifying any issues or inconsistencies raised by the IA; • Bring issues raised by or associated with clients to the IA for resolution; • Facilitate Steering Committees and other oversight bodies of the project; • Day to day oversight of project execution; • Submit all technical reports and completion reports to IA (realised outputs, inventories, verification of co-finance, terminal reporting, etc.) • Monitoring and evaluation of the project outputs and outcomes; • Effective use of both international and national resources allocated to it; • Timely availability of financing to support project execution; • Proper coordination among all project stakeholders; in particular national parties; • Timely submission of all project reports, including work plans and financial reports. • Follow-up with, or progress, procurement, financial and audit reports. 	Internal quarterly meetings with PM and NPD
Project Management Unit (PMU)	National Project Director (NPD)	<ul style="list-style-type: none"> • Will be represented by an officer from the Executing Agency; • Act as member of the PSC; • Report to and receive advice from the PSC; • Identify and secure partner support for the implementation of project activities; • Advice on hiring process 	Regular meetings with PM

Body	Composition	Role and description	Frequency of meetings
	Project Manager (PM)	<ul style="list-style-type: none"> ● The PM will be paid with GEF funds, will be hosted by Climate Change Directorate at MMA in Chile, and will be responsible for: ● Take responsibility for day-to-day project operations; ● Take responsibility for the execution of the project in accordance with the project objectives, activities and budget; ● Deliver the outputs and demonstrate its best efforts in achieving the project outcomes; ● Coordinate project execution and liaison with national counterparts (relevant ministries, electric utilities, private sector, NGOs etc.). ● Undertake field visits; ● Manage financial resources and processing all financial transaction relating to sub-allotments; ● Prepare all annual/year-end project revisions; ● Attend and facilitate inception workshops and national steering committee meetings; ● Assess project risks in the field, monitor risk management plan; ● Ensure technical quality of products, outputs and deliverables; ● Coordinate the project work team; ● Coordinate with strategic task forces; ● Act as secretary of the PSC; ● Plan and host/chair the PSC annual meetings; ● Periodic reporting to UN Environment and the PSC for allocation of the GEF grant according to the quarterly and annual work plans and budgets in coordination with UN Environment and NPD; ● Notify UN Environment and the PSC in writing if there is need for modification to the agreed implementation plan and budget, and to seek approval; ● Address and rectify any issues or inconsistencies raised by the Executing Agency; ● Support compilation and submission of progress, financial and audit reporting to the Executing Agency; ● Prepare, at the end of the project, the project Final Report. 	Regular meetings with NPD, the PM (at least twice per month)
The Transparency Task Force (TTF)	This body will build on the existing ETICC interministerial working group which includes line ministries.	<ul style="list-style-type: none"> ● Provide accurate and up-to-date technical advice and guidance to the Steering Committee on issues related to the implementation of the project activities. 	Every 2 mon

Body	Composition	Role and description	Frequency of meetings
	<p>In addition, focal points and experts of different themes (mitigation, adaptation, climate finance etc.) from other ministries, private sector, civil society organisations and academic institutions might be invited to participate in the transparency task force of this project.</p> <p>The consultants and contractors to be hired to develop specific project outputs or activities are members.</p>	<ul style="list-style-type: none"> Function as "transparency champions" who promote transparency and build capacity in their respective areas of work Consultants will be hired as required by the project work plan to implement specific activities and outputs; they do report to PMU; they take responsibility for the execution and ensure technical quality of the activities or outputs they conduct; and they undertake field visits (if required). 	

Figure 2: Organigram of the Project with key project key stakeholders



E. Changes in design during implementation

58. No significant changes were made to the original project design during implementation period (2018-2022) as can be understood through Project Reports available at

<https://drive.google.com/drive/folders/18QjJ85Ug0Nnx8z-kkuHxMq6ccxEMtMo2> for the years 2020, 2021 and 2022.

59. No mid-term assessments were planned nor deployed.

F. Project financing

60. Total Project cost in the Final Report was USD 1,262,870 with a co-financing of USD 870,000 which is composed of USD 120,000 from the Ministry of the Environment (MMA) and USD 750,000 from the Climate Change and Sustainability Agency (ASSC).

61. Actual expenditures reported as of 30 June 2022 are US\$ 1,296,908 and Project budget execution by component build based on 9835_CBIT Chile_ER + CAR_1110 shows an execution rate of 97% with a better performance on outcome 1 reaching 99% compared to outcome 2 which reached 84,63%:

Table 3. Execution rate by component in USD

Components	Outcomes	GEF Project Financing	Confirmed Co-financing	Expenditure	Execution rate
1: Strengthening of Chile's Transparency framework for mitigation and adaptation actions	1.1. Climate data and analysis is integrated into policy making and international reporting	500,000	350,000		
	1.2. Chile's NDC is being tracked and evaluated	500,000	350,000		
	Total component 1	1,000,000		993,351	99,00%
2: Institutionalisation of the public climate expenditures	2.1 Public institutions report their climate expenditures and support received	120,000	70,000		
	Total component 2	120,000		101,557	84,63%
	Project Management Cost	112,000	100,000		
		112,000		112,000	100,00%
	Total project costs	1,232,000	870,000	1,296,908	97,00%

IV. THEORY OF CHANGE AT REVIEW

62. **Strong causal argument.** At the impact level, the project proposes the strengthening of Chile's Transparency Framework for mitigation and adaptation. The project supports enhanced reporting and assessments in the areas of national greenhouse gas (GHG) inventories, GHG mitigation, and adaptation to climate impacts leading to data collection for in-depth assessment of existing climate actions and policies and development of new climate policy instruments. The project is also associated with global benefits through capacity development mainly in the areas of GHG inventories and emission reductions. In the absence of this project, there will be an uncoordinated approach in data collection and analysis, which will prevent effective implementation of the NDC which gives the ToC a strong argument for relevance.

63. Chile's institutional strengthening of the ETF was meant to be achieved by a) integrating data and analyses into national policy making and international reporting; b) tracking and evaluating NDC and c) reporting climate expenditures and receiving support makes outcome level objectives consistent and coherent with impact. Expected results at this stage (outcomes 1 to 3) have two strong assumptions. One, that planning capacities for adequate reporting and evaluation are in place and allows effective deliverables and; two, that public officers linked to the implementation of the ETF in government bodies will be fully aligned and will comply adequately with reporting standards.

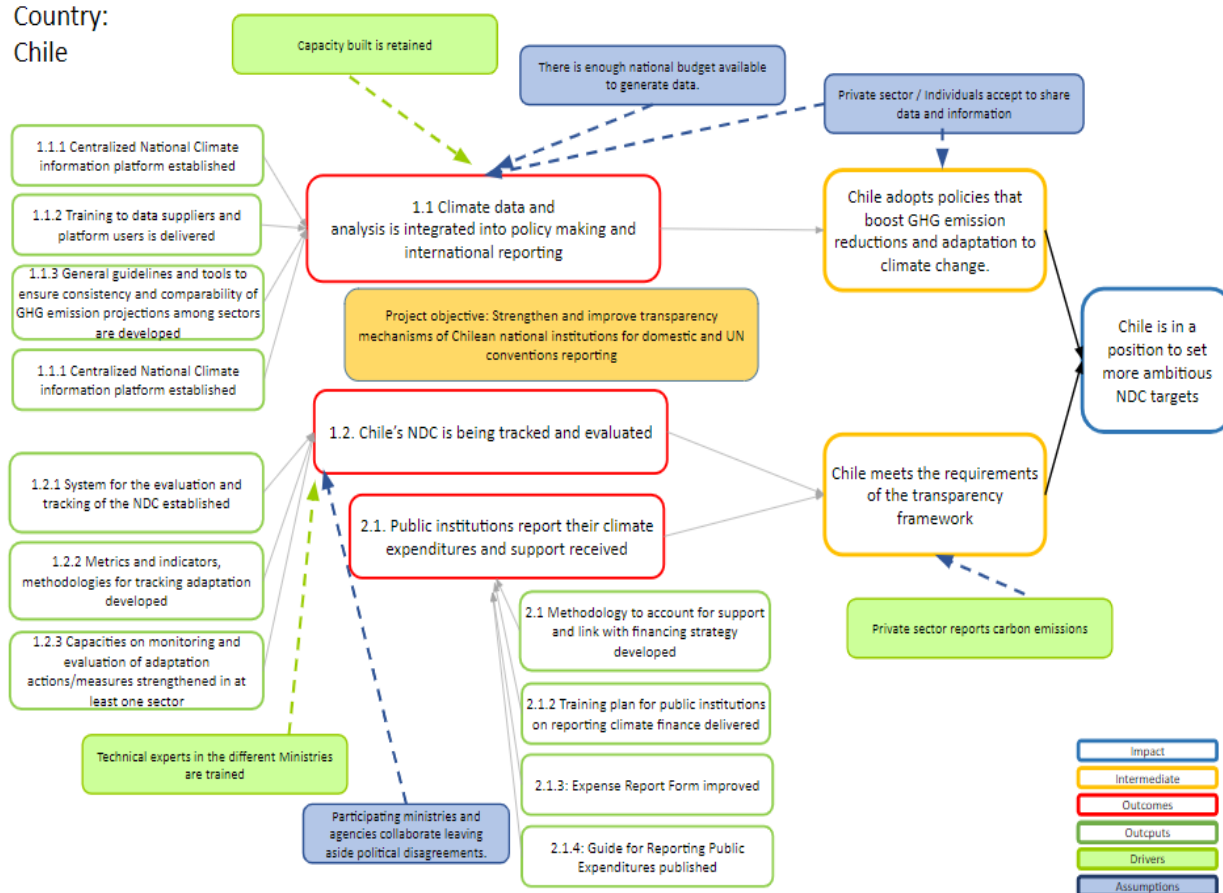
64. **Powerful assumptions.** Outputs in the framework of outcome a) integrating data and analyses into national policy making and international reporting are consistent with the expected result given a lot of weight to the training activities. Disregarding their unequal impact towards the outcome, outputs are well described and activities involved show very detailed planning. Maybe one aspect that was not deeply treated is change management for actually using the platform. Hypothesis underneath may have addressed enough buy-in from users (will need to verify) or pre existing mechanisms for embedding data into policy making processes. Regarding outcomes b) tracking and evaluating NDC and c) reporting climate expenditures and receiving support, both outputs and activities are consistent and seems to lead to outcome. Again, "use" as a governmental and broader stakeholders participation is a strong assumption underneath, as per ToC design:

- There is enough national budget available to generate data
- Private sector / Individuals accept to share data and information
- Participating ministries and agencies collaborate leaving aside political disagreements.

Figure 3. Chile CBIT 9835 Theory of Change at design

Theory of Change

Country:
Chile



65. **Robust baseline.** The baseline developed is very strong and includes many elements that provide a complete sense of the starting point for the project both from an institutional and a substantive perspective. This included a complete map of projects a) related with the ETF which received international support and its sources and b) focused on capacity building (funding not necessarily provided to the government). Besides, an inventory of c) long term monitoring of the NDC in mitigation, d) monitoring of the NDC in adaptation and e) institutionalisation of the public climate expenditures are well described.

66. However, the proposed M&E framework at design stage shows 5 indicators that are closely linked to outputs rather than outcomes. This limits the potential of making a strong argument of achieved results with evidence. Besides, indicators A, C, D and E are absolute numbers allowing targets rather than sustained changing behaviours measured facilitated as a consequence of outcome achievements.

67. Gender is considered in this TOC at the design stage for capacity development outputs from two perspectives: a) mainstreaming gender into modelling studies and b) in training activities. Regarding a) and considering Chile does not currently have specific national guidelines to mainstreaming gender equality within policies associated with climate change, the country will integrate this perspective following the statement made by The Commission on the Status of Women (CSW) in its session's conclusion in March 2011. Reference shall be made to the GEF Gender Equality Action Plan (GEAP) and GEF Policy on Gender Mainstreaming to ensure that gender perspectives are introduced into MRV as well as facilitate the involvement of gender actors. This Policy prompts new projects to conduct a gender analysis and to develop gender responsive results-based frameworks. In this regard, gender-disaggregation principle will be adhered to during data collection, analysis and reporting. In reference to b) the project will seek to build on the past efforts of linking gender issues to

climate change and to maintain an acceptable gender representation in project management structures (committees, institutional frameworks) and capacity building actions (trainings, workshops). Specifically, this project will organise a gender workshop on a topic that was agreed upon during the PPG stage and “provide training on subnational metrics with a gender approach”.

V. REVIEW FINDINGS

A. STRATEGIC RELEVANCE

Alignment to UNEP Medium Term Strategy¹⁴ (MTS), Programme of Work (POW) and Strategic Priorities

68. The Project aligns with the [UNEP Medium-Term Strategy \(MTS\) 2018 to 2021](#), specifically “Environmental Governance, Promoting policy coherence and strong legal and institutional frameworks to achieve environmental goals in the context of sustainable development” and “Environment under Review, Keeping the environment under review to empower stakeholders to deliver the environmental dimension of sustainable development”.

69. Regarding “**Environmental Governance**”, the project particularly tackles at a national level outcomes a) *The international community increasingly converges on common and integrated approaches to achieve environmental objectives and implement the 2030 Agenda for Sustainable Development* and b) *Institutional capacity and policy and/or legal frameworks enhanced to achieve internationally agreed environmental goals, including the 2030 Agenda for Sustainable Development and its Sustainable Development Goals*.

70. Considering “**Environment under Review**”, Chile CBIT 9835 contributes to achieving *Governments and other stakeholders use quality open environmental data, analyses and participatory processes that strengthen the science-policy interface (e.g. GEO, SDG CoPs) to generate evidence-based environmental assessments, identify emerging issues and foster policy action*.

71. The Project also aligns with the [Programme of Work 2018-19](#) approved by UNEP and contributes to subprograms **1 Climate change** “Countries increasingly make the transition to low-emission economic development, and enhance their adaptation and resilience to climate change” (a. Countries increasingly advance their national adaptation plans which integrate ecosystem-based adaptation) and **4 Environmental governance** “Policy coherence and strong legal and institutional frameworks increasingly achieve environmental goals in the context of sustainable development” (b. Institutional capacities and policy and/or legal frameworks enhanced to achieve internationally agreed environmental goals, including the 2030 Agenda for Sustainable Development and the Sustainable Development Goals).

72. The [Bali Strategic Plan \(BSP\)](#) has objectives to “strengthen the capacity of governments of developing countries through targeted capacity building within the mandate of UNEP, using and sustaining the capacity of technology obtained through training or other capacity building efforts, and developing national research, monitoring and assessment capacity that supports national institutions in data collection, analysis and monitoring of environmental trends and in establishing infrastructure for scientific development and environmental management (that will ensure sustainability of capacity building efforts)”. The BSP also has other specific objectives of “promoting, facilitating and financing as appropriate, access to and support of environmentally sound technologies and corresponding know-how, especially for developing countries as well as countries with economies in transition”, and “strengthening cooperation amongst UNEP, multilateral agreement secretariats (that take into account their autonomous decision-making processes), and other bodies engaged in environmental capacity building including GEF”.

73. Rating for Alignment to UNEP’s Medium-Term Strategy, Programme of Work and strategic priorities is **highly satisfactory**.

¹⁴ 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.

Alignment to Donor/GEF/Partners Strategic Priorities

74. The project also describes and proves alignment with GEF / Donor priorities as mentioned under the GEF Corporate Results Framework: 1) Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society; 2) Sustainable land management in production systems (agriculture, rangelands, and forest landscapes); 3) Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services; 4) Support to transformational shifts towards a low-emission and resilient development path; 5) Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern and 6) Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks.

Relevance to Global Regional, Sub-regional and National Priorities

75. Chile is extremely committed to the 2030 Agenda and also presented its voluntary review to the High Level Political Forum in New York in 2017 to review progress on SDGs. In specific, the CBIT project coordinated tracking of SDG progress in particular related to climate change (SDG 13) and Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all (SDG 4). This can be seen through the Project Document, the letter from the Sustainability and Climate Change Agency.

76. The project “Strengthening Chile’s Nationally Determined Contribution (NDC) Transparency Framework” represents an important contribution towards improving Chile’s Measurement, Reporting and Verification (MRV) strategy to provide information on the measures taken and the support received under the commitments of the Paris Agreement (PA¹⁵).

Complementarity with Existing Interventions/Coherence

77. At project design stage (2019), Chile recognized the lack of metrics for tracking adaptation and that so far, almost all advances, in terms of transparency and MRV, have been undertaken with international support received in the last years. The projects indicated below and developed in Chile had the design, direct execution and leadership of professionals from the Climate Change Division, being a basis for the creation of this team's capabilities and thus sustaining a cohesive approach to MRV.

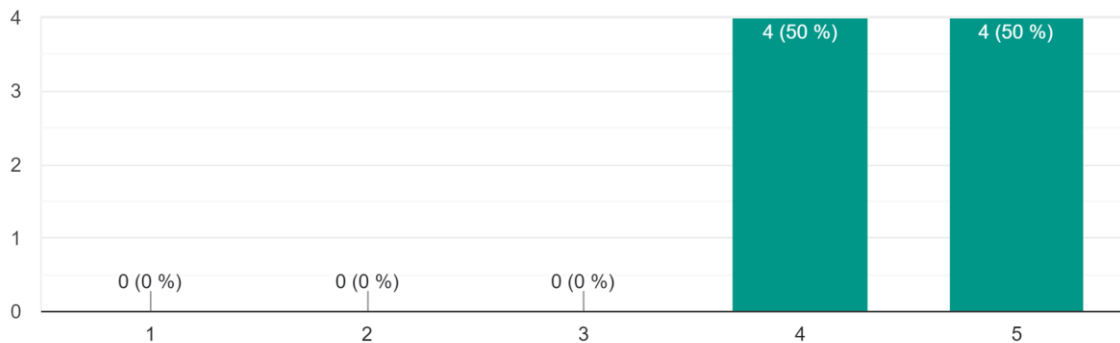
78. This shows that the project was well aligned with the government’s actions of putting in place many of the elements required for an effective policy response to climate change and maintaining a progressive vision on climate action transparency as stated in the Project Document. This GEF CBIT project was coordinated and developed in part by this same Division, which allowed avoiding duplication of efforts and aligning the contents of all these initiatives with CBIT.

79. Indeed, this was confirmed through the survey results which indicates that 100% of respondents considered that the project has “high” or “very high” relevance for the national Climate Change policy and NDC according to the following graph.

¹⁵ Article 4th of the Paris Agreement (PA) requests for full, exhaustive, comparative and robust accountability of the measures and action, for the Convention to be able to clearly assess the progressions and achievements made.

8. Por favor, ¿podría indicar la relevancia del proyecto para la política nacional de Cambio Climático y la Contribución Nacional?

8 respuestas



80. In line with the same argument, projects described below also proves a sustained and coherent international strategy in partnering for ETF and MRV results.

Table 4 . Main projects related with ETF which received international support and its sources

Project Name	Description	Donors
1. Mitigation Options to Face Climate Change (MAPS, 2014-2015).	Facilitating decision-making over possible mitigation actions at national level. The project forecasts scenarios and mitigation options in the long run, through a technical participative and multispectral process. Mitigation Action plans and Scenarios project (MAPS) outcomes constitute an essential input for the design of the mitigation component of the INDC.	The Children's Invest Fund Foundation, Swiss Confederation, (US\$1,290,378)
2. Low Emission Capacity Building - Chile (LECB) (2012 - 2016)	Fostering and creating capacities in the public and private sectors for mitigation and measurement of GHG emissions. Studies like "Design of accountability rules for Chile", and Climate Public Expenditure and Institutional Review Methodology (CPEIR) were supported under this project.	European Commission, Federal Republic of Germany, Australia (US\$1,584,000)
3. Support Activities to prepare the Third National Communication	Strengthening and consolidating the management of Climate Change in Chile, to comply with the transparency related commitments established in the UNFCCC. Several activities for improving adaptive capacities were developed, including	GEF (US\$480,000)

(TCN) of Chile to UNFCCC (2012-2017)	vulnerability studies which considered the development of workshops in the regions to collect different perceptions regarding climate change impacts	
4. Biennial Update Report Project (2015-2017)	Preparation of the BUR to be presented to the UNFCCC, updating information on GHG emission inventory, mitigation actions, financial support, needs and gaps.	GEF (US\$352,000)
5. Partnership for Market Readiness (PMR, 2011-2017)	Generating technical capacities for evaluating, designing and implementing Market-based Instruments (MBI). Assessment of feasibility of one or several carbon-price fixing instruments in the energy sector. Design and implement an MRV framework and a registry system. Communication strategy and stakeholder engagement.	World Bank (US\$3,000,000)
6. Enhancing resilience to climate change of the small agriculture of O'Higgins Region (2016-2019)	Increase resilience capacity in rural communities in the coastal and arid Region of O'Higgins. Designing and implementing measures to reduce vulnerability of small-scale farmers facing changes in the agricultural production, ecosystems services and biodiversity.	Adaptation Fund (US\$ 9,600,000)

Table 5. Projects focused on capacity building (funding not necessarily provided to the government)

Project Name	Description	Donors
1. Information Matters, GiZ (2013-2016)	Supporting institutions of UNFCCC parties to assess their monitoring and communicational processes and diminishing gaps. Enhancement of those processes in the light of what is required by international standards and the UNFCCC itself. The information generated under this project corresponds to input for the development of the activities proposed in this CBIT project.	Federal Republic of Germany
2. EUROCLIMA	Facilitating the integration of local and sub-national strategies of adaptation measures for coping with climate change within public policies and development plans. Regional cooperation program between the European Union and Latin America. The competitive	European Commission

	<p>projects of Euroclima have more specific objectives, called vertical components. On the other hand, there are horizontal components with general objectives, which will be contained in the activities to be developed under this CBIT project.</p>	
<p>3. International Partnership on Mitigation and MRV (IPMM), renamed as Partnership on Transparency in the Paris Agreement (PATPA)</p>	<p>Supporting a practical exchange of activities related to GHG mitigation actions, with the goal of helping to close the gaps of the global ambition. This alliance focuses principally on collaborating in the design of low-emission development strategies (LEDS), NAMAS and MRV systems. At this moment, there are no activities in implementation in Chile financed by PATPA. The contents of PATPA and those of the present project will be aligned, so that the objectives proposed in PATPA should be considered in the activities and products to be implemented under this CBIT project.</p>	<p>Federal Republic of Germany Republic of South Africa Republic of Korea</p>
<p>4. MRV Framework</p>	<p>Improving the coordination of the MRV of NAMAs in Chile, which allows increasing the public knowledge about these actions and the trust in the estimated benefits related to GHG reduction and other non-GHG approaches. This MRV project is finished and has enabled MRV guidelines for NAMAS. This product is an input for the development of the activities proposed in this CBIT project.</p>	<p>Foreign and Common Affairs of the British Council</p>
<p>5. Carbon-Budget Framework for Chile</p>	<p>Allowing the Chilean Government to track progress towards its GHG emissions reduction targets and to take appropriate action if progress is not sufficient. This project had generated antecedents that are the base for the development of the proposed activities to be supported by this CBIT project.</p>	<p>Foreign and Common Affairs of the British Council</p>
<p>6. NDC partnership</p>	<p>Ensuring countries receive the technical and financial support they need to achieve ambitious climate and sustainable development targets as fast and effectively as possible. At this moment, there are no activities in implementation in Chile financed by the NDC Partnership. In the same way, the objectives indicated in the NDC Partnership will be considered for the activities and</p>	<p>World Resources institute</p>

	products to be developed under this CBIT project.	
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Rating for Strategic Relevance: Highly Satisfactory | 6

B. QUALITY OF PROJECT DESIGN

81. **Strategic relevance.** A strength of this project is that it thoroughly documents and proves alignment with Sustainable Development Goals (SDG), UNEP MTS, PoW and Strategic Priorities at the time of formulation, it thoroughly describes and proves alignment with GEF / Donor priorities, with national environmental priorities and proves complementarity with other national and international interventions.

82. **Strong alignment.** The project “Strengthening Chile’s Nationally Determined Contribution (NDC) Transparency Framework” represents an important contribution towards improving Chile’s Measurement, Reporting and Verification (MRV) strategy to provide information on the measures taken and the support received under the commitments of the Paris Agreement (PA¹⁶). This is well aligned with the government’s actions of putting in place many of the elements required for an effective policy response to climate change and maintaining a progressive vision on climate action transparency as stated in the Project Document.

83. **Quality design.** Regarding preparation, the project document contains thorough information on the previous actions taken by Chile in holding the country accountable towards achieving the NDC targets as well as enhancing transparency frameworks. Therefore the baseline described is consistent and covers many past and ongoing efforts¹⁷ pointing out relevant challenges for the country regarding the ETF. This also included the challenge of measuring the progress not only for mitigation but also for adaptation actions as well. In that sense, Chile recognized the lack of metrics for tracking adaptation and the importance of having them at design stage which can be verified from the Project Document and interviews conducted.

84. **Sufficient participation strategy.** The project design also includes a profound analysis of all stakeholders directly involved in project activities: government and national standards-setting bodies, Business NGOs, Civil Society, Accademia and international actors. However, there is no explicit mention of potential users of the platform despite the participation of the private sector in the definition of upcoming NDCs and in the follow-up to the implementation of the commitments, this will be expressed through participatory processes and public consultation to obtain feedback and support from the different economic sectors.

85. The project document mentions that a consultation process is being used by Chile to elaborate different policy elements related to climate change (NDC, Adaptation plans, National Action Plans, etc). The project design is thought to use this experience and enhance it. Moreover, the output 1.1 related to a National Climate Platform aims to improve the knowledge management related to climate change including elements of data sharing/gathering and communication approaches. The previous Mitigation Action Plans and Scenarios (MAPS) modelling exercise has shown the interest and importance of participatory training. However, there is no specific description of the consultation/participation process itself during the project design stage, and no description of which stakeholders were consulted.

¹⁶ Article 4th of the Paris Agreement (PA) requests for full, exhaustive, comparative and robust accountability of the measures and action, for the Convention to be able to clearly assess the progressions and achievements made.

¹⁷ Including a) projects related to the ETF which received international support and its sources and b) focused on capacity building (funding not necessarily provided to the government).

86. **Limited gender approach due to the institutional nature of the intervention.** Regarding gender, the project states that efforts will also be made to maintain an acceptable gender representation in project management structures (committees, institutional frameworks) and capacity building actions (trainings, workshops). Specifically, this project will organise a gender workshop on a topic that was agreed upon during the PPG stage but does not plan a special role for women within the project structure.

87. **Causality is convincingly described.** Outputs, outcomes and impact are correctly identified in the TOC. The outputs look realistic, coherent with the national context, their drivers and assumptions are identified as well as stakeholders at the different levels. The causal pathways that are present are convincing from outputs to outcomes to impact.

88. A potential weakness in the TOC is that outputs 1.1 to 1.4 are strongly oriented to providing sufficient tools and guidelines aimed at facilitating reporting but those products may not necessarily guarantee NDC integration *per se* into policy making in a sustained manner.

89. Additionally, there is a potential lack of causality in sequencing output 1.2.1 to 1.2.3 directly with actual tracking and evaluation. Products related to accurate systems, metrics and capacities may not directly imply that they are fully used for what they were meant to.

90. In connection to the results and causality analysis, the logical and monitoring framework are well connected to the TOC, but detailed indicators selected to show results at outputs and outcome levels (see Annex A) are simple and may not collaborate in showcasing the actual potential of the Project. A budget is allocated for monitoring progress. The work plan seems plausible.

91. **Strong governance.** Governance and supervision arrangements are another strength of this project, with clear responsibilities assigned to stakeholders aligned to their respective attributions in Chile's institutional background. Partnerships are also clearly defined and aligned with the capacities of government and regulatory agencies, civil society and academia.

92. **Internationally connected knowledge management.** Regarding learning, communication and outreach, the knowledge management approach is described in the project document and is strongly linked to international conversation. Chile will participate in the CBIT global coordination platform sharing national CBIT information and updating the global coordination platform. Sharing lessons learnt and experiences under the platform will ensure alignment of Chile's CBIT project with other national, regional and global transparency initiatives.

93. Financial planning and budgeting seem adequate at the design stage for the activities planned.

94. **Institutional, Social and political unexpected risks.** Risks were mostly identified, and mitigation measures were proposed at design stage. From an organisational capacity point of view, the two risks that do not seem to have been identified at design stage are a) lack, insufficient or no use of the information platform and b) scenarios of low quality of reporting and decision making process. The project document does not identify any ongoing or high likelihood of conflict. However, significant social and political conflicts existed during project execution: the social conflict that started in 2019 and the deepening of the economic crisis brought about by the COVID-19 pandemic required a complete government priorities shift that had to be reviewed and reorganised, not only to concentrate the efforts in minimise the negative impacts of the sanitary in the country, but also to re design some process and products in order to planning a re-boosting of the economy through green growth and putting citizenship at the top of the agenda.

95. In sum, although the project document did not recognize at the time of its writing an ongoing or high likelihood of conflict during project execution, social conflict and a challenging environment did exist during project execution that was difficult to predict not only in Chile but worldwide.

UNEP's review tools provide a table that summarises the methodology to assess project design quality. Table 6 below summarises the scores for each section (as detailed in the submitted Inception Report).

Table 6. Quality of project design assessment table (quantitative)

	SECTION	SELECT RATING	SCORE (1-6)	WEIGHTING	TOTAL (Rating x Weighting/10)
A	Operating Context	Moderately Unsatisfactory	3	0.4	0.12
B	Project Preparation	Moderately Satisfactory	4	1.2	0.48
C	Strategic Relevance	Highly Satisfactory	6	0.8	0.48
D	Intended Results and Causality	Satisfactory	5	1.6	0.8
E	Logical Framework and Monitoring	Moderately Satisfactory	4	0.8	0.32
F	Governance and Supervision Arrangements	Highly Satisfactory	6	0.4	0.24
G	Partnerships	Satisfactory	5	0.8	0.4
H	Learning, Communication and Outreach	Satisfactory	5	0.4	0.2
I	Financial Planning / Budgeting	Highly Satisfactory	6	0.4	0.24
J	Efficiency	Highly Satisfactory	6	0.8	0.48
K	Risk identification and Social Safeguards	Highly Satisfactory	6	0.8	0.48
L	Sustainability / Replication and Catalytic Effects	Satisfactory	5	1.2	0.6
M	Identified Project Design Weaknesses/Gaps	Moderately Satisfactory	4	0.4	0.16
				TOTAL SCORE (Sum)	5

96. The total score for this project for quality of design is **5: Satisfactory**.

Rating for Project Design: Satisfactory | 5

C. NATURE OF THE EXTERNAL CONTEXT

97. Since Chile ratified the Framework Convention in 1994 of the United Nations on Climate Change (UNFCCC) and became a party to its Kyoto Protocol in 2002, has been actively present in the discussions and international efforts, and has faithfully complied with commitments assumed as a country in process of development. Meanwhile, the Paris Agreement, adopted in December 2015, was promulgated in Chile in February 2017 through Supreme Decree No. 30 of the Ministry of Foreign Affairs.

98. According to [4to BUR](#), national policies aimed at sustainable development are part of the comprehensive development strategy of the country. The Political Constitution guarantees, as a right fundamental, to live in an environment free of contamination, and gives the State the duty to protect and preserve nature and environmental heritage (Government of Chile, 2002). The consolidation

process of the Chilean environmental institutions have been marked by the creation of the Ministry of the Environment (MMA), the Environmental Evaluation Service (SEA) and the Superintendence of the Environment (SMA) in 2010, together with the Council of Ministers for Sustainability (CMS).

99. The National Climate Institutional is based in the Ministry of the Environment, specifically at the Climate Change Office. In January 2020 the climate change bill was urgently entered into Congress seeking the issuance of a Framework Law on Climate Change that reinforces the constitutionality of climate change in a cross cutting approach encompassing the national and local levels, establishing policy instruments for climate change management and a goal of carbon neutrality by 2050.

100. Significant social and political conflicts existed during project execution: the social conflict that started in 2019 and the deepening of the economic crisis brought about by the COVID-19 pandemic required a complete shift of government priorities that concentrated efforts in minimising the negative impacts of the sanitary pandemic in the country, and also to re design some process and products in order to planning a re-boosting of the economy through green growth and putting citizenship at the top of the agenda.

101. Interviewed stakeholders recognized that the pandemic lock down impacted government performance of public duties, Notwithstanding, this did not result in a negative outcome for project deployment nor did the quality of outputs. Chile's institutional framework allowed the project to overcome the sanitary situation and achieved milestones and objectives.

Rating for Nature of the external context: Favourable

D. EFFECTIVENESS

Availability of Outputs

102. **Output 1.1.1 A Centralised National Climate information platform was established.** An analysis of existing climate-related information platforms and their structure was provided by the project including a solid review of existing platforms by various national organisations regarding the type of information but also on the IT (Information Technology) architecture. Based on best practices identified, the platform was designed enabling sectoral data related to progress on the implementation of adaptation plans and mitigation actions and policies to be collected. Nevertheless, the design of an information exchange interphase to share data among sectors could not be completed and did not include existing functionalities of SNICHILE enabling users to report data for the inventory and help facilitate the production of the information needed for the BUR and national communication as planned. Any way, users still will have access to information at a sectoral level which is a positive spillover of the project. Data management system will also be developed, enabling industrial operators to submit their monitoring plans and verified annual emission reports, in line with the regulatory framework. The type of platform achieved did not incorporate interactive tools to address different types of audiences so it couldn't enable to look at the implication of low carbon pathways depending on progress in activities in 1.1.3 and 1.2.

103. Chile's second BUR stated the need for a centralised platform of climate information, to improve data management, facilitate coordination and systematic data sharing with different ministries. Such a platform was expected to be composed of different modules, including a web-based inventory platform, allowing easy public access and the analyses of GHG inventory data. Such modules were meant to be organised according to the different climate change sectors (e.g. mitigation, adaptation, support). It will also provide a transparent system to inform the general public about climate change within the country in line to the Principle 10 of the Rio Declaration, key to apply in the process of implementation of the PA.

104. **Output 1.1.2 Training to data suppliers and platform users was delivered.** Data suppliers were trained to insert accurate data (according to their roles) to the platform and to allow Ministries and sectoral institutions to actually consult the platform on a regular basis. Training was complemented with the development of detailed guidelines promoting the effective use of the centralised national climate information platform including substantive and operational data to facilitate data exchange and management. The document "Definition of system guidelines National Monitoring, Reporting and Verification (MRV) of mitigation policies and actions driven by the public sector" was delivered on March 17th, 2022 and is fully available on line under the Ministry of Environment official website: <https://cambioclimatico.mma.gob.cl/wp-content/uploads/2022/03/Lineamientos-MRV-de-poli%CC%81ticas-y-acciones-de-mitigacio%CC%81n.pdf>

105. **Output 1.1.3 General guidelines and tools to ensure consistency and comparability of GHG emission projections among sectors were developed.** The lack of long-term climate strategy in Chile has been highlighted as a barrier to elaborate efficient policy planning tools. This issue was explicitly mentioned in Article 4.19 of the PA, which calls parties to formulate and communicate Low Emission Development Strategies. CBIT activities helped to build the capacities and create awareness at the decision-making level and help put in place advanced tools to set potential long-term goals. Additionally, Chile is striving to analyse the best possible option to have a robust and transparent tracking for its own type of NDC (carbon-intensity target).

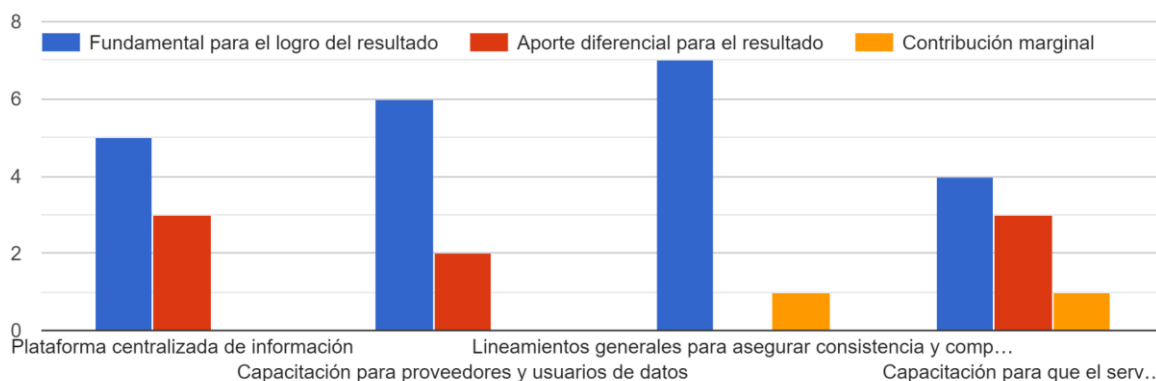
106. The main deliverables to ensure consistency and comparability of GHG emission projections among sectors were: a) National Prospective System: organisational analysis structure capable of coordinate and standardise processes for updating national GHG projections and their impacts, through the evaluation of measures and analysis of disaggregated sectoral projections; and Road Map; b) NDC updated documentation, which incorporates the technical and institutional component around the trajectories and medium-term national commitments for Chile (absolute target, peak and carbon budget); c) Long-term GHG projections and advice during the multi-sectoral discussion for the definition of the 2050 carbon neutrality goal included in Framework Law on Climate Change; d) QA/QC: Documentation of QA/QC procedures in technical and simplified language; e) Long Term Climate Strategy - LTS: Actively supported by CBIT Chile team during its 2 years of participatory development. Incorporates, among other things, sectoral trajectories (sectoral GHG budgets), specifying CBIT's role in this matter. CBIT Chile also played a key role in the discussions held with each sector (transport, agriculture, etc.) to define their objectives and goals in the LTS; f) 4th Biennial Update Report: CBIT was an active part of the 4th BUR, highlighting in the document the main advances in GHG prospective; g) Final report for LULUCF projections, of National Prospective System and h) Waste Final Report: Circular Economy in the Food Production and Distribution Food Production and Distribution in Chile.

107. **Output 1.1.4 Training to public servants to use this information on decision-making was completed.** There is enough evidence that all activities committed to for this output have been satisfactorily completed. During CBIT implementation, more than 30 training activities were developed: Webinars, workshops, exchanges between LAC countries, etc. Tab "Dissemination events" of the Work Plan spreadsheet, include details of all instances developed. Evidence (pictures, ppt, attendance lists, etc.) is available in [CBIT Chile Outputs - Google Drive](#), folder Component 1. Strengthening Transparency framework / Output 1.1.4: Capacities for decision making / "01 Dissemination events". A specific report was also developed, "Training report" which included a brief summary of main advances of CBIT Chile, training activities developed, and lessons learned. The main international trainings in which the CBIT Chile team has participated are presented in Tab "International Training" of the Work Plan spreadsheet (the references, either invitations, presentations, etc. of each training are presented in CBIT Chile Outputs - Google Drive, specifically in the folder [Component 1. Strengthening Transparency framework / Output 1.1.4: Capacities for decision making / "02 International Workshop"] and the folder [Component 2. Institutionalisation of climate expenditures / training and workshops]). At national level, CBIT Chile team participated permanently in webinars, workshops, etc. related to climate expenditure, green financing, GHG and black carbon projections, mitigation measures, modelling software, Gender, MRV, NDC and LTS, etc.

108. In sum, it is worth noticing that even though all outputs were important the survey indicated that some of them were considered key to outcome achievement. In this sense, **guidelines and training to**

data suppliers and platform users were considered as fundamental to reaching the target as can be seen in the graph.

3. ¿Cómo calificaría el peso de los siguientes productos en la integración de datos y análisis climáticos a las decisiones de políticas y reportes internacionales?



109. **Output 1.2.1 System for the evaluation and tracking of the NDC was established.** To achieve this, an inter-sectoral working group was established to develop the process in conjunction with stakeholders from private sector, academia, ONGs, and public institutions; and considering all sectors (Energy, IPPU, Waste, Agriculture and UTCUTS). Based on international evaluation of Chile's previous NDC, available evidence and discussions with relevant stakeholders it is manifest that the new NDC for Chile includes as mitigation goals: absolute goal, peak and carbon budget.

110. The National GHG Prospective System, which aims to coordinate and standardise the continuous updating of national GHG projections and their impacts, and to support the evaluation of measures and analysis of disaggregated sectoral projections was also designed and implemented under the framework of the project. The product of the system is national scenarios of long-lived and short-lived multi-sectoral GHG emissions and their impacts, with standards of transparency, integration and participation. Therefore, this is a key System for the Chilean Government, to follow up on its international commitments (NDC, LTS, etc.); in a robust and transparent way; and at the same time updating them in time. In addition, the National Prospective System constitutes a key tool for international reporting, which was preliminarily reflected in Chile's 4th BUR (Biennial update report), and was deepened in the 5th BUR to presented on December 27th, 2022 (available under the UNFCCC website <https://unfccc.int/documents/624735>) and the Biennial transparency report (BTR) to be presented in 2024.

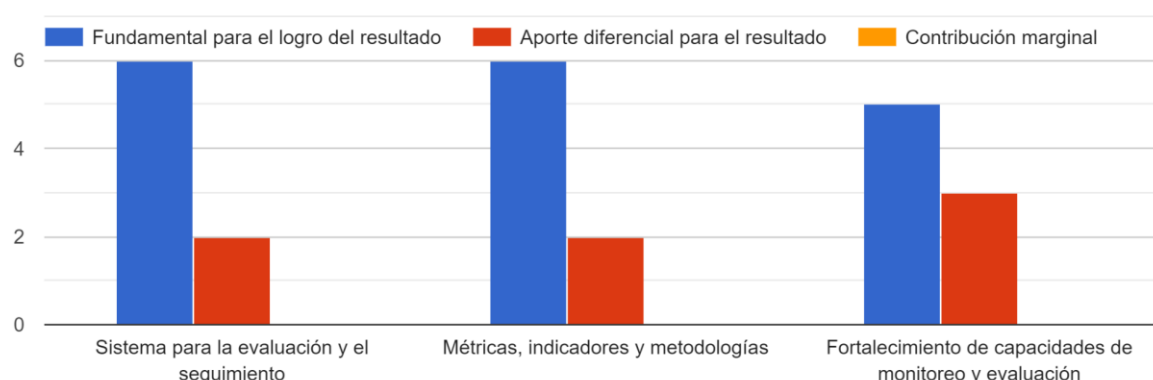
111. **Output 1.2.2 Metrics and indicators, methodologies for tracking adaptation were developed.** National Adaptation Plan and sectoral plans and an Adaptation Monitoring and Report System were strengthened through different deliverables: a) Progress Report on November 2021 including a set of new adaptation progress indicators for 11 most vulnerable sectors + Set of 21 cross-sectoral vulnerability indicators (water, soil, and ecosystems) + 11 indicators of the Climate Risk Atlas (ARClim) was updated and improved, including the adaptive capacity component; b) methodological improvements in mitigation and adaptation indicators for the agricultural sector were delivered; c) "Dissemination Events" such as webinars and workshops developed under CBIT Chile, for strengthening technical and institutional capacities (evidence available in [CBIT Chile Outputs - Google Drive](#): presentations, attendance list, pictures, etc.) and d) Technical presentations and meetings minutes.

112. **Output 1.2.3 Capacities on monitoring and evaluation of adaptation actions/measures were strengthened in at least one sector** through the development of: a) Technical presentations and meetings minutes; b) Sectoral diagnosis: Monitoring and Evaluation (M&E) diagnostics for the 11 most vulnerable sectors (biodiversity, energy, infrastructure, mining, fishing, water, health, forestry and

agriculture, cities, tourism, coastal zone; c) Four manuals for integrating gender into climate change management; d) Long Term Climate Strategy - LTS: Actively supported by CBIT Chile team during its 2 years of participatory development with the incorporation of M&E of adaptation through indicators, specifying CBIT's role in this matter (See chapters 4 and 8 of the LTS) and e) "Dissemination Events" for strengthening technical and institutional capacities (evidence available in CBIT Chile Outputs - Google Drive: presentations, attendance list, pictures, etc.).

113. In sum, it is worth noticing that even though all outputs were important the survey indicated that some of them were considered key to outcome achievement. In this sense, systems and metrics were considered as fundamental to reaching the target as can be seen in the graph.

4. ¿Cómo calificaría el peso de los siguientes productos en el seguimiento y evaluación de las Contribuciones Nacionalmente Determinadas (NDC)?



114. Output 2.1.1: Methodology to account for support and link with financing strategy was developed. Available information at [CBIT Chile Outputs - Google Drive](#) included in the shows that a) a guide for compiling climate expenditure; b) a guide for identifying sustainable investment in the 2020-2022 economic recovery plans and c) the 4th Biennial Update Report: CBIT was an active part of the process leading to the completion and delivery of Chile's 4th BUR, highlighting the main advances in climate expenditure accounting.

115. Output 2.1.2: Training plan for public institutions on reporting climate finance was designed and delivered. All the activities committed to for this output have been satisfactorily completed. The main deliverables include: a) a web interface of Climate Finance and Climate expenditure that can be accessed at: <https://cambioclimatico.mma.gob.cl/medios-de-implementacion/financiamiento-climatico/> https://cambioclimatico.mma.gob.cl/wp-content/uploads/2021/11/211018_Informe_Ejercicio_Metodologico_Inversion_Climatica_MMA_2021.pdf; b) "Dissemination Events" tab presented in the Work Plan, include webinars and workshops; c) Trainings and Workshops, developed by CBIT team for sharing knowledge including technical presentations and d) 4th Biennial Update Report: CBIT was an active part of the [4to BUR](#), highlighting in the document the main advances in climate expenditure accounting as previously mentioned.

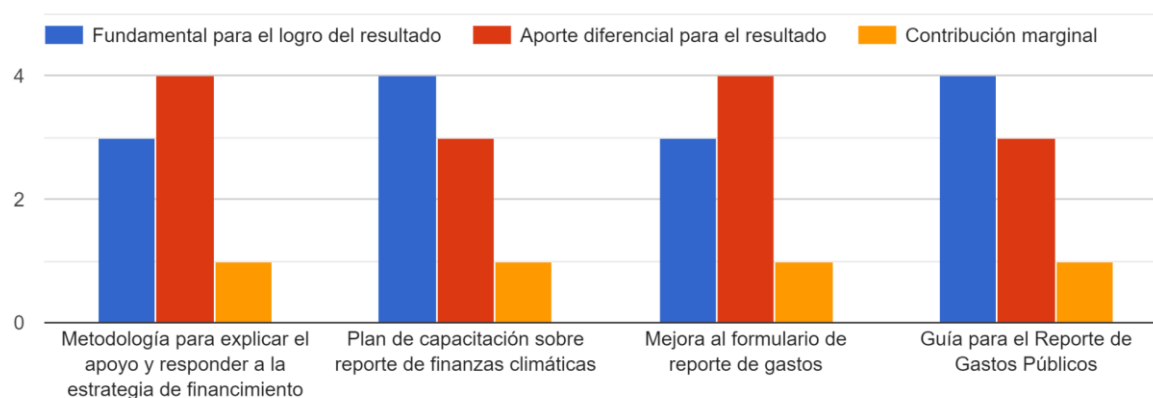
116. Output 2.1.3: Expense Report Form was improved through: a) development of technical presentations; b) access databases and Excel dynamic tables; and c) 4th Biennial Update Report: CBIT was an active part of the [4to BUR](#), highlighting in the document the main advances in climate expenditure accounting.

117. Output 2.1.4: Guide for Reporting Public Expenditures was developed and published. The report of "Environmental and climate investment of the Public Sector in Chile 2018-2020. Methodological

proposal and preliminary results" was delivered and a Climate Expenditure Report: Diagnosis, methodology, guidelines and results was also made available.

118. In sum, it is worth noticing that even though all outputs were important the survey indicated that some of them were considered key to outcome achievement. In this sense, guidelines for the expense report and the training plan for public institutions on reporting were considered as fundamental to reaching the target as can be seen in the graph.

5. ¿Cómo calificaría el peso de los siguientes productos en el reporte de gastos y apoyos recibidos por las instituciones públicas?



Rating for Availability of outputs: Highly Satisfactory

Achievement of Project Outcomes

119. **Full achievement of outcome 1.1 Climate data and analysis is integrated into policy making and international reporting.** Both the people interviewed and the documents consulted indicated that the integration of data and analysis in the policy processes related to climate change was achieved. Moreover, Chilean capacities in terms of NDC were increased and strengthened thanks to the fact that the project was able to influence the conversation on the institutionalisation of the national climate change strategy. The development and deployment of the [MRV framework](#) based on best international practice is of great added value to existing institutions and was recognized as a [good practice by The Mitigation Partnership](#)¹⁸.

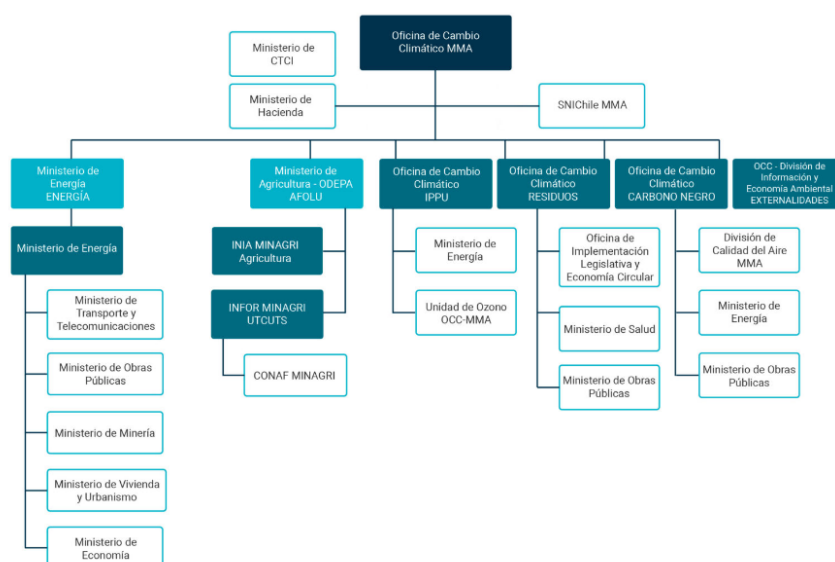
120. It is important to mention that the project was inserted in a facilitating institutional context. On the one hand, in the individual interviews, a strong commitment of the national agenda to the global conversation on climate change is in place, which is verified through the commitment and leadership of Chile with the international instruments of mitigation and adaptation as, for example, the rotating presidency of the 25th Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC) (COP25). On the other hand, the Chilean State institutions have the necessary mechanisms and instruments both in terms of political decisions and legal frameworks to

¹⁸ Chile developed a framework which ensures MRV approaches for individual mitigation actions are developed using a uniform process based on the WRI Policy and Action Standard, using common sectoral assumptions to provide comparability with existing projections, are aligned with data and emission factors in the national GHG inventory where feasible, avoid double counting and are reported using standardised reports on implementation and impacts. The reported data provides quality information for political decision-making and reporting on implementation of mitigation action at the national level as well as input for the Biennial Update Report (BUR) compilation. The process is supported by guidance for all steps and reporting templates. Chile is currently applying the MRV framework to Nationally Appropriate Mitigation Actions (NAMAs). It can, however, be applied to any kind of mitigation action.

continue with the process of strengthening the transparency framework of the NDCs beyond international technical cooperation.

121. **National Prospective System:** available public and project information shows that the design and implementation of the National Prospective System was achieved as well as its objectives of coordination and standardisation of processes for updating national GHG projections and their impact and; support to the evaluation of measures and analysis of disaggregated sectoral projections (NDC, long-term climate strategy, etc.). Consulted stakeholders agreed that the National Prospective System (SNP) is an organisational structure for technical analysis, capable of providing public information for decision-making on the mitigation of greenhouse gases as indicated at <https://cambioclimatico.mma.gob.cl/sistema-nacional-de-prospectiva-snpchile/introduccion-al-sistema/>. The NPS is key towards validation of national scenarios of multi-sectoral long- and short-lived GHG emissions and their impacts, with standards of transparency, integration and participation and sustained governance and institutional arrangements and technical systems which is as follows:

Figure 4. Chile's Climate Change governance structure



122. **Full achievement of outcome 1.2 Chile's NDC is being tracked and evaluated.** As a result of the project implementation, a complete system was put in place for the identification, measurement and reporting (MRV) of key transparency indicators with the participation of the sectoral ministries. This is available here: <https://cambioclimatico.mma.gob.cl/wp-content/uploads/2022/03/Lineamientos-MRV-de-poli%CC%81ticas-y-acciones-de-mitigacio%CC%81n.pdf>. The national mitigation MRV system seeks to provide ex post follow-up to the Sectoral Mitigation Plans (SMP), incorporating guidelines related to monitoring the progress of their implementation and the effectiveness of their mitigation measures, of the related sectoral responsibilities to mitigation measures and compliance with sectoral mitigation efforts derived from sectoral budgets.

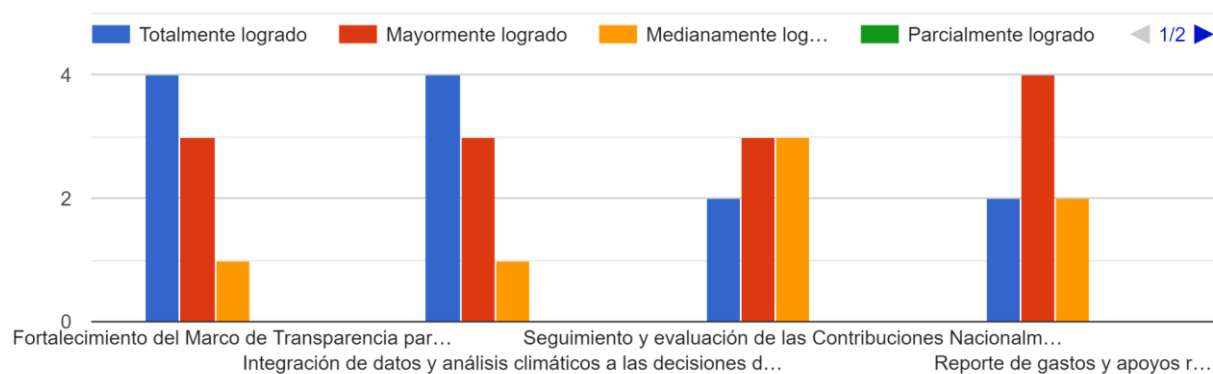
123. Nevertheless, stakeholders consulted indicated that the system could not be deployed with full planned software functionalities. Some of them believe that the existing platform can not be considered a full system. The final design of a tool to systematise mitigation policies and actions was developed under Power BI (Business Intelligence). Power BI is a unified and scalable self-service business intelligence (BI) platform suitable for large enterprises and organisations that connects to data, visualises it, and seamlessly embed visuals into the apps you use every day.

124. **Full achievement of outcome 2.1. Public institutions report their climate expenditures and support received.** The development of indicators for monitoring and evaluation (M&E) of adaptation as a process provided the Government of Chile with several products, among which the following stand out: a set of new adaptation progress indicators for 11 most vulnerable sectors (Biodiversity, energy,

infrastructure, mining, fishing, water, health, forestry and agriculture, cities, tourism, coastal zone); a set of 21 cross-sectoral vulnerability indicators (water, soil and ecosystems); inclusive governance for sustainability and legitimacy of the work of adaptation indicators and a road Map for M&E of adaptation in Chile.

125. According to the survey, most outcomes were fully or mainly achieved by the project as can be seen in the following graph.

2. ¿Cómo valoraría el logro de los siguientes resultados buscados por el proyecto?



Rating for Achievement of outcomes: Highly Satisfactory

Achievement of Likelihood of Impact

126. Significant progress towards Strengthening of Chile's Transparency framework for mitigation and adaptation actions was made with the contribution of actions taken under the Project. The Project Document identified the following gaps: 1) The need to strengthening the current sectoral capacities, enhancing their scope and involving other ministries (e.g. Housing, Economy and Interior) and continuing their capacity building; 2) The need to improve the instruments elaborated to registering the expenditures through guidelines and pilots were fully addressed and closed.

127. On one hand, sectoral capacities were strengthened including all relevant ministries under the MRV framework. As available evidence from the centralised platform indicates, the tool developed compiles information from DataBases of the Ministries of Housing and Urbanism, Infraestructura, Agriculture, Health, Mining, Transport and Telecommunications and Energy. On the other hand, the needed methodology to measure and report expenditures were elaborated (guide for compiling climate expenditure and guide for identifying sustainable investment in the 2020-2022 economic recovery plans) and people were trained through webinars and workshops.

Rating for Likelihood of Impact: Highly Likely

128. Considering the availability of outputs, the achievement of outcomes and the likelihood of impact described above the Project effectiveness can be rated as Highly Satisfactory.

Rating for Effectiveness: Highly Satisfactory

E. FINANCIAL MANAGEMENT

Adherence to UNEP's Financial Policies and Procedures

129. The main issues to the overall adherence of the Project to UNEP's financial policies and procedures was that procurement procedures were not clear for participating staff of the national government. This caused delays in the attainment of substantive and procedural milestones, contracting consultants, etc...

Completeness of Financial Information

130. The following financial information was made available to the TR: Yearly Expenditure reports of Project implementation (2018-2021); Annual Co-financing reports 2018-2021 (cash and in-kind); Inventory of Non-expendable equipment (2021) and all relevant Project legal agreements.

131. The following financial information was not made available under the Project Management file to the TR: Budget revisions mainly from 2019 and 2020; Proof of fund transfers.

132. Overall, the completeness of financial information for the Project is rated satisfactory. The final disbursements of the Project are shown on Table III-1.

Communication Between Finance and Project Management Staff

133. Stakeholders consulted indicated that communication between finance and project management staff was fluent and did not present any challenges. Nevertheless, the assumption that ROLAC did have enough technical knowledge to manage project closure could have been revised and needed actions to enhance procedural capacities taken in order to ensure timely project closure. This is processed as a key lesson learned for the TR.

Rating for Financial Management: Satisfactory

F. EFFICIENCY

134. Despite a 6 month initiation delay, the Project managed to keep on track of the work plan delivering outputs under the social and sanitary restrictions mentioned before. The strategy of going on line with meetings and stakeholders engagement was successful in order to achieve the milestones. Capacity building workshops were the one aspect of the Project that was delivered in a timely manner.

135. No-cost extensions were signed by the Project.

Rating for Efficiency: Highly Satisfactory

G. MONITORING AND REPORTING

Monitoring Design and Budgeting

136. Monitoring design is consistent with UNEP and GEF guidelines. Details of a budgeted Monitoring and Evaluation (M&E) plan can be found in Annex G of the Project Document. Projects funded by GEF have specific evaluation requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement template), in an effort to ensure that donor commitments are fulfilled. In that regard, a number of M&E instruments were included as part of the reporting requirements of the Project's M&E. These included Inception Workshop (IW) and Report; Half-yearly progress report; Quarterly financial reports; Project Implementation Review (PIR); Final Report and Terminal Review. The Project budget also made allowance for the undertaking of both

an MTE and Terminal Review. The monitoring design and budgeting has been rated as highly satisfactory.

Monitoring of Project Implementation

137. The monitoring of Project implementation included detailed project reports well documented and submitted on a timely basis. Monitoring of Project Implementation has been rated as Satisfactory.

Project Reporting

138. The TR had access to the Project implementation reports primarily through PIRs from 2014 to 2020. These reports provided details of progress towards objectives, implementation progress, and risk management for the Project against the component indicators. These progress reviews provided details of all component efforts to conduct energy audits, provide training workshops for awareness raising, leveraging co-financing for EE and RE revolving funds, installation of RE and EE equipment in demonstration buildings, and setup new codes and standards for building energy efficiency.

139. Some of these PIRs provided result-based monitoring and reporting that were instrumental in providing continual improvements and adaptive management measures to the Project implementation. However, some of these PIRs did not convey the issues of 2017 cash advances that were not being distributed to the countries for implementation, in particular the 2017 and 2018 PIRs. A mid-term review was deemed necessary due to the fact that the Project was underperforming after 4.5-years of implementation. There also appears to be no reporting on GHG emission reductions (as mentioned in Para 165, 6th bullet). Project reporting for the Project has been rated as highly satisfactory.

Rating for Monitoring and Reporting: Highly Satisfactory

H. SUSTAINABILITY

Socio-political Sustainability

140. As per the interviews, there appears to be strong institutional ownership of centralised national information platform delivered by the project which can be confirmed in the institutional arrangements made by the government under the [Definition of system guidelines National Monitoring, Reporting and Verification \(MRV\) of mitigation policies and actions driven by the public sector](#); Framework Law on Climate Change, NDC, LTS and all available BURs.

141. Socio-political Sustainability is rated as Highly Likely.

Financial Sustainability

142. So far, as it was described before, Chile's Transparency Framework for mitigation and adaptation had a strong contribution from the international community: 6 projects were implemented to strengthen the ETF between 2014 and 2019 and 6 projects supported capacity building initiatives. This provided enough momentum to move further on NDC reporting.

143. The Climate Change Framework law N° 21.455 has made budgetary commitments which were valued in the interviews as "low". Under Title VI it states that a financial strategy will be developed:

- "The Climate Change Financial Strategy will be prepared by the Ministry of Finance with the support of the competent bodies..."
- The procedure for the elaboration of the Climate Change Financial Strategy will be in charge of the Ministry of Finance.
- The Climate Change Financial Strategy will be approved by supreme decree of the Ministry of Finance. Said strategy will be updated when appropriate, at least every five years, in line with the updates of the NDC and under the same procedure established for its preparation.

- The Ministry of Finance must report annually on the progress of this financial strategy to the Special Mixed Budget Commission, the Senate Commission for the Environment and National Assets, and the Chamber of Deputies Commission for the Environment and Natural Resources”.

144. Nevertheless, a long term commitment of the national government was mentioned as needed by people consulted. As a stakeholder mentioned:

“Even though Chile is graduating, the country still depends on political will for a strong and long term founding”

145. Financial Sustainability is rated as Likely.

Institutional Sustainability

146. As it was mentioned, Chile’s national government had put in place strong institutions that are capable of sustaining the NDC process.

147. Institutional Sustainability is rated as Highly Likely.

Rating for Sustainability: Likely

I. FACTORS AFFECTING PERFORMANCE AND CROSS-CUTTING ISSUES

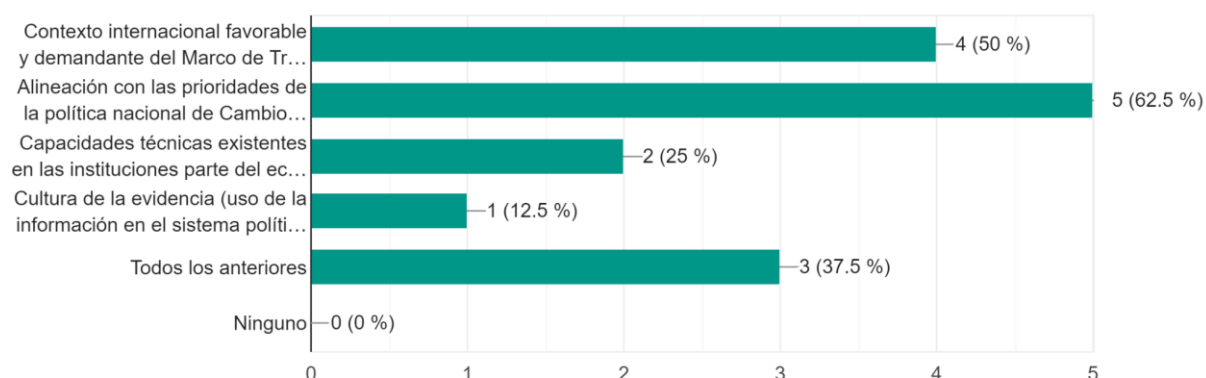
Preparation and Readiness

148. As mentioned above, the preparation of the project to start the activities was very appropriate for two reasons. On the one hand, due to the existing institutional arrangements that guaranteed the contribution of the project and; on the other hand, the existence of a complete work plan to carry out the activities as can be seen in the administrative record folder. The survey results are also indicating that project alignment to national priorities (62,5%) and favourable international context (50%) are facilitators of project positive performance.

Figure 5 Main project implementation facilitators.

7. ¿Cuáles diría que fueron los principales facilitadores de la ejecución del proyecto?

8 respuestas



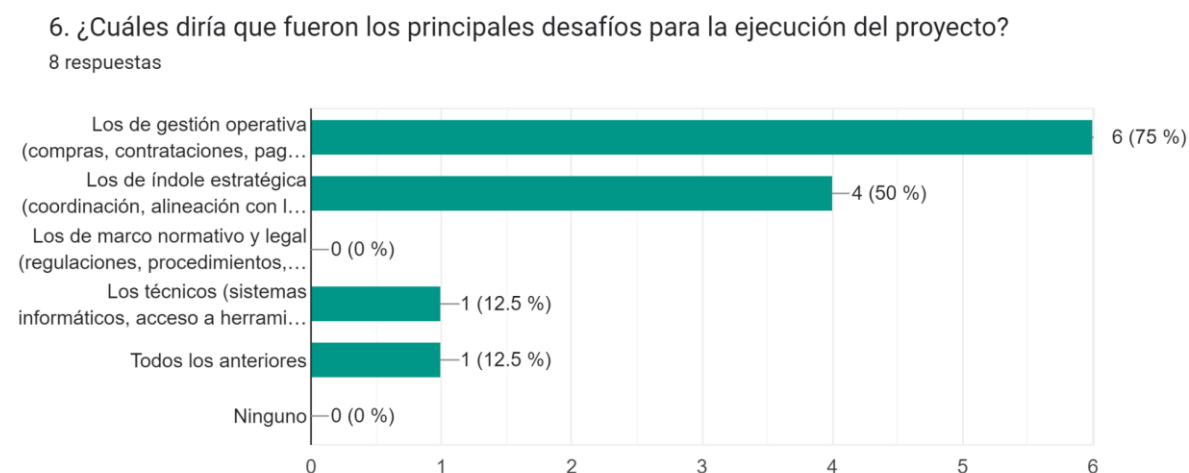
149. As such, the Project preparation and readiness is rated as Highly Satisfactory.

Quality of Project Management and Supervision

150. The project was characterised as "very complex administratively" by stakeholders consulted. Complexity was observed in the payment process and very long deadlines to assume the commitments were identified. The combination of UNEP's operational frameworks for professionals with a two-year time limit and UNDP's that allowed more flexibility led to delays in payments. This can also be verified through the surveys responses: 75% of respondents indicated that challenges were mainly associated

with operations management (procurement and contracts) and 50% agreed that strategic and coordination issues were important.

Figure 6. Main project implementation challenges



151. Nevertheless, managers achieved all committed outputs and outcomes in a timely and quality manner independent from legal and operational frameworks used. Therefore the Project Management and Supervision is rated as Satisfactory.

Stakeholders Participation and Cooperation

152. Evidence based on available documents and discussions with Project personnel indicates that the executing agency had some issues in engaging stakeholders from civil society mainly during the consultations that coincide with the early beginning of the pandemic (period of March 2020 - July 2021).

153. Overall, the quality of stakeholder participation and cooperation is rated as Highly Satisfactory.

Responsiveness to Human Rights and Gender Equality

154. The Project made efforts to mainstream gender through the constitution of the Project management team and in all capacity building activities as workshops and seminars.

155. As such, the rating for this Project's responsiveness to human rights and gender equality based on current UNEP review criteria would be Highly Satisfactory.

Environmental and Social Safeguards

156. No relevant environmental and social safeguards can be mentioned as they were not identified or required during the design phase. as such, they are not included under the Project Document nor required later. As such, the criterion for environmental and social safeguards is rated as "Not rated".

Country Ownership and Driven-ness

157. Overall rating of country ownership and drivenness is Highly Satisfactory.

Communication and Public Awareness

158. No relevant communication and public awareness strategies can be mentioned or valued as they were not identified or required during the design phase. As such, they are not included under the Project Document nor required later. The criterion for environmental and social safeguards is rated as "Not rated".

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

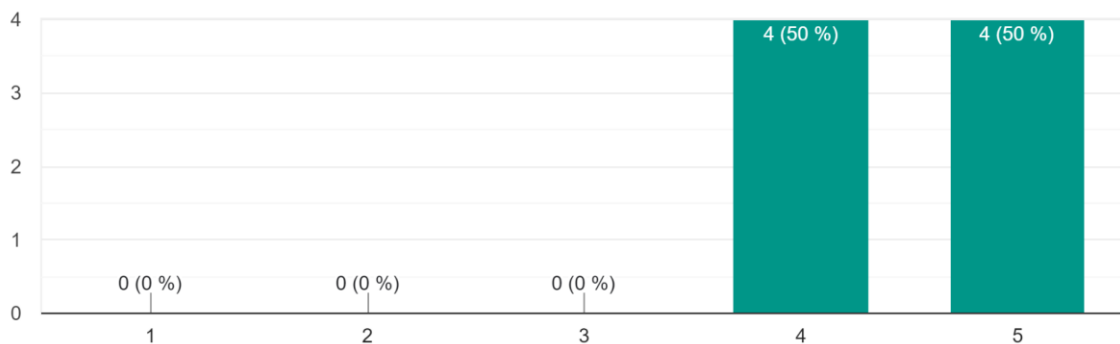
VI. CONCLUSIONS AND RECOMMENDATIONS

A. CONCLUSIONS

159. Chile's state and non-state actors participating in the project are adopting the enhanced transparency framework arrangements under the Paris Agreement and the reviewed project has demonstrated concrete advances regarding in particular the strengthening of its capacity for an improved NDC. Although it can not be attributed solely to the project, the debate and pass of the Climate Change Bill signified an enormous opportunity for the project to influence and advance the ETF agenda in the country. This implied a strong alignment between national priorities and the international agenda which can also be verified through survey responses: once asked to choose between two extremes i) The same progress would have been made in strengthening the Transparency Framework and ii) Key to advancing in the country's challenges in terms of generating information and reporting on mitigation and adaptation, 100% selected the positive pole.

8. Por favor, ¿podría indicar la relevancia del proyecto para la política nacional de Cambio Climático y la Contribución Nacional?

8 respuestas



The same progress would have been made in strengthening the Transparency Framework

Key to advancing in the country's challenges

160. In particular, the country strengthened and improved existing transparency mechanisms of national institutions for domestic statutes and UN conventions reporting requirements with a key advancement: the **National Prospective System** with all its relevant components were achieved.

161. The participating state actors in the project adopted the new policy mechanisms developed by the project and demonstrated enough evidence of national appropriation and use for international reporting as well as for national decision making processes including the adobe mentioned law. Besides, outputs delivered by the project (guidelines, training, forms revisions, platform, etc.) enhanced and strengthened Chile's capacities for Climate Change MRV.

162. The project went through two major unexpected social and political events during its execution and overcame them properly. The social conflict that started in 2019 and the deepening of the economic crisis brought about by the COVID-19 pandemic required a complete government priorities shift that had to be reviewed and reorganised, not only to concentrate the efforts in minimise the negative impacts of the sanitary in the country, but also to re design some process and products in order to planning a re-boosting of the economy through green growth and putting citizenship at the top of the agenda. The project was successful in overcoming unexpected events and delivering results with online and remote management strategies to keep up implementing planned activities.

163. Despite some delays in procurement and closure operations, the project was executed efficiently and delivered with quality all committed outputs. Besides, although some reports were not available under this revision (e.g. the Audit reports) the project is well documented and provided with enough evidence of substantive accomplishments and financial transparency.

B. SUMMARY OF PROJECT FINDINGS AND RATINGS

164. The table below provides a summary of the ratings and findings discussed in Chapter 5. Overall, the project demonstrates a rating of 'Highly Satisfactory | 5.68'.

UNEP Evaluation Office Validation of Performance Ratings:

The UNEP Evaluation Office formally quality assesses (see Annex VIII) management led Terminal Review reports and validates the performance ratings therein by ensuring that the performance judgments made are consistent with evidence presented in the Review report and in-line with the performance standards set out for independent evaluations.

The Evaluation Office assesses a Terminal Review report in the same way as it assesses the initial draft of a Terminal Evaluation report. It applies the following assumptions in its validation process:

- That what is being assessed is the contents of the report and the extent to which it makes a consistent and justifiable case for the performance ratings it records.
- That the consultant has, within the report, presented all the evidence that was made available to them.
- That the project team and key stakeholders have already reviewed a draft version of the report and provided substantive comments and made factual corrections to the Review Consultant, who has responded to them. The Evaluation Office assumes, therefore, that it has received the Final (revised) version of the report.

In this instance the Evaluation Office finds that the Report provides insufficient evidence to support its performance assessment and has adjusted some of the criteria ratings in the table below. The Evaluation Office validates the overall project performance rating at the '**Satisfactory**' level.

Table 4: Summary of project findings and ratings

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
Strategic Relevance	Highly Satisfactory	6.00	Rating Validated	HS
1. Alignment to UNEP MTS, POW and Strategic Priorities	Highly Satisfactory	6	Rating Validated	HS
2. Alignment to Donor/GEF/Partner's strategic priorities	Highly Satisfactory	6	Rating Validated	HS
3. Relevance to global, regional, sub-regional and national environmental priorities	Highly Satisfactory	6	Rating Validated	HS
4. Complementarity with relevant existing interventions/coherence	Highly Satisfactory	6	Rating Validated	HS
Quality of Project Design	Satisfactory	5	Rating Validated	S
Nature of External Context	Favourable		The combination of two substantial and sustained, unanticipated events - social unrest in 2019 and the COVID-19 pandemic in 2020 - is more in keeping with a <i>Moderately Unfavourable</i> rating.	MU
Effectiveness	Highly Satisfactory	6.00	Rating adjusted based on aggregation of the sub-categories	S
1. Availability of outputs	Highly Satisfactory	6	Rating Validated as sufficient detail is provided to support strong delivery of valued outputs on a timely basis.	HS

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
2. Achievement of project outcomes	Highly Satisfactory	6	<p>There is no discussion of the causal pathway relating the outputs to outcomes and no discussion of drivers and assumptions to support the analysis at the outcome level.</p> <p>The analysis relies heavily on the delivery of the outputs and assessment of their quality/utility. However, para 101 raises some doubt on the completeness of the functionalities of the information exchange and its capacity to provide access to different types of audiences. The number of people who responded to the survey is extremely small, (8), and these represent a group very close to the project's implementation, which weakens the evidence for a highly satisfactory rating which <u>requires that all outcomes are fully achieved</u>. The rating has been reduced to <i>Satisfactory</i>.</p>	S

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
3. Likelihood of impact	Highly Likely	6	<p>The report does not provide an analysis of drivers and assumptions within a causal path context. In particular, participation by the private sector is identified in the assumptions, yet there is no mention of their involvement in the project's ambitions or efforts. Para 102 also notes that <i>the design of an information exchange interphase to share data among sectors could not be completed</i>, which weakens the likelihood of high inter-ministerial collaboration (assumption in TOC).</p> <p>The rating of a high likelihood of impact is not supported and, based on the assumption that the Reviewer would have included information on the private sector engagement if there had been anything to report, has been reduced to <i>Moderately Likely</i>.</p>	ML
Financial Management	Satisfactory	5.00		S
1. Adherence to UNEP's financial policies and procedures	Satisfactory	5	Rating Validated	S
2. Completeness of project financial information	Satisfactory	5	Rating Validated	S
3. Communication between finance and project management staff	Satisfactory	5	Rating Validated	S

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
Efficiency	Highly Satisfactory	6	Rating Validated	HS
Monitoring and Reporting	Highly Satisfactory	5.67	Rating adjusted based on aggregation of the sub-categories	S
1. Monitoring design and budgeting	Highly Satisfactory	6	As the report contains no reference to or details on any results indicators and/or targets, this high rating is not supported. Given that the project design passed both UNEP and GEF approval systems, a rating of <i>Satisfactory</i> is given.	S
2. Monitoring of project implementation	Satisfactory	5	The single sentence in para 137: <i>the monitoring of Project implementation included detailed project reports well documented and submitted on a timely basis</i> , is an unsupported assertion. Detail provided in para 139 suggests that monitoring was undertaken and adaptive management practised and this is supported by the fact that the project delivered its outputs within the original timeframe. A rating of <i>Moderately Satisfactory</i> is given.	MS
3. Project reporting	Highly Satisfactory	6	Rating Validated	HS
Sustainability	Likely	5.00	Rating Validated	L
1. Socio-political sustainability	Highly Likely	6	Rating Validated	HL

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
2. Financial sustainability	Likely	5	Rating Validated	L
3. Institutional sustainability	Highly Likely	6	Rating Validated	HL
Factors Affecting Performance	Highly Satisfactory	5.57	Rating Validated	HS
1. Preparation and readiness	Highly Satisfactory	6	Rating Validated	HS
2. Quality of project management and supervision	Highly Satisfactory	5.50	Rating Validated	HS
<i>2.1 UNEP/Implementing Agency:</i>	Satisfactory	5	Rating Validated	S
<i>2.2 Partners/Executing Agency:</i>	Highly Satisfactory	6	Rating Validated	HS
3. Stakeholders' participation and cooperation	Highly Satisfactory	6	Rating Validated	HS

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
4. Responsiveness to human rights and gender equality	Highly Satisfactory	6	<p>The single sentence in para 154 does not support this high performance rating: <i>The Project made efforts to mainstream gender through the constitution of the Project management team and in all capacity building activities as workshops and seminars.</i></p> <p>Para 67 states a lot of intentions on gender but does not report action. A workshop on a gender topic was planned but there is not reference to that having taken place. Para 112 states that 4 manuals for integrating gender in Climate Change were produced. Despite the assertion that gender representation would be given attention during the project implementation, there are no gender disaggregated data in the report.</p>	MS
5. Environmental and social safeguards	Not rated	0	Not rated as the project design itself set out not safeguard information.	NR
6. Country ownership and driven-ness	Highly Satisfactory	6	This rating is validated	HS

Criterion	Summary assessment	Rating	Justification for any ratings' changes due to validation (to be completed by the UNEP Evaluation Office – EOU)	EOU Validated Rating
7. Communication and public awareness	Not rated	0	Based on this Review Report the Evaluation Office concludes that: <i>Some key audiences driving the desired change have moderate awareness of project's main messages</i> (UNEP Evaluation Office Criteria Ratings Matrix)	MS
Overall Project Performance Rating		5.68		Satisfactory

C. Lessons learned

Lesson Learned #1:	Building a robust and integrated platform in the context of projects that aim at coordinating data from different Ministries and ensuring systems interoperability is key. It needs to be built upon existing systems and facilitated by process workflows modelled on daily management activities to be sustainable in time.
Context/comment:	Even though the Centralised National Climate information platform was established, many planned features could not be developed or implemented due to time and capacity limitations. For example, the sectoral counterparts are not allowed to access ministry's systems which increases the amount of transactions needed to upload the data. Besides, the platform is based in excel, powerpoint and dropbox tools to gather information and in SharePoint to systematise and make data available instead of being developed under national infrastructure or software systems. A more robust engagement with national processes and systems could benefit the project installed capacities in the long run.

Lesson Learned #2:	A robust, cohesive and lasting project team contributes to the long term impact of the Project strengthening the link between decision makers and implementing partners and guaranteeing the political vision is reached.
Context/comment:	Project management and link to policy bond was successful mainly because the same team lasted implementation wide and provided efficiently with the accomplishment of planned activities and outputs. The continuity of the CBIT team was highlighted during different interviews and agreed as a strength of the Project. As a spillover, this strength allowed the team to successfully virtually manage the project under the context of COVID19 pandemic maintaining planned activities and reaching targeted outputs on time.

Lesson Learned #3:	Project management teams need to be properly trained for executing project closure procedures to properly end activities. Termination activities need to be planned in advance and led by trained personnel to accompany planned work plans and reach their target on time.
Context/comment:	Complexity of project administration was also a key issue when implementing necessary steps in the closure procedure of the project. This was due mainly to the amount and complexity of steps needed as well as the lack of knowledge of rules and regulations by in charge personnel. Lack of governmental knowledge about UNEP administrative mechanisms plus usual delays in operations management infringed a one year offset in contract administration which caused a delay on the work plan. The time invested in project closure can affect the overall efficiency of the project if not performed on time.

D. Recommendations

Recommendation #1:	Enhance the integration of the Chilean MRV framework into inter-ministerial coordination and ministerial activities, including with the support of GEF projects.
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Challenge/problem to be addressed by the recommendation:	<p>Actually, there is a lack of systematisation and integration of the different sectoral MRV information developed and gathered. At the pace that both the NDC and the Climate Strategy unfolds across the political system as a priority, a centralised coordination efforts will be needed in order to assure mainstreaming of the MRV across the board, quality control mechanism and coherence of the country's international participation. Some actions may include:</p> <ul style="list-style-type: none"> - policy advocacy actions (closed meetings) towards installing the need of a MRV governing agency - research on international comparative experiences on best practices for a MRV governing agency - seminars to discuss and elaborate specialised policy recommendations on how to shape a MRV governing agency
Priority Level:	Important
Type of Recommendation	Partner level
Responsibility:	Ministry of Environment of Chile
Proposed implementation time-frame:	5 years

Recommendation #2:	Dedicate time and resources in UNEP/GEF projects to plan and prepare well in advance the executing arrangements to minimise procurement and closing process delays .
Challenge/problem to be addressed by the recommendation:	<p>This should include clear agreements drafted in the Project document on how individual contracts should be managed at different levels. In addition, greater capacity on operations under international frameworks needs to be delivered to the country in order to more agile procedures. Some actions may include:</p> <ul style="list-style-type: none"> - continuous training activities to project personnel on how to managed process under selected implementation arrangements - install a "help desk" to support national operational counterparts on UN systems procedures and norms
Priority Level:	Important
Type of Recommendation	Project level
Responsibility:	UNEP
Proposed implementation time-frame:	As soon as possible and ongoing

Recommendation #3:	Use UN convening power to more effectively promote knowledge exchange and communication of results including through promotion of South-South and horizontal cooperations.
Challenge/problem to be addressed by the recommendation:	<p>Horizontal technical cooperation and coordination with GEF regional bodies was not used to its maximum power during the project. This situation limited project peer learning and visibility on global Climate Change mitigation and adaptation fora. Providing regular exchange spaces on line or in person during project implementation can be nutritive for personnel. Some actions may include:</p> <ul style="list-style-type: none"> - For example, having regular communication and interactive exchange through Slack or Whatsapp groups can build better links and mutual learning across the Climate Change national divisions around the region. Slack is a business messaging app that connects people with the information they need. Slack transforms the way organisations communicate by bringing people together to work as a unified team: https://slack.com/intl/es-ar/ This is a low cost but effective horizontal communication strategy.

	- Having regular cooperation meetings among countries facing the same challenges can help cross fertilisation and be of mutual benefit to stakeholders on the field.
Priority Level:	Relevant
Type of Recommendation	Project level
Responsibility:	UNEP
Proposed implementation time-frame:	As soon as possible and ongoing

ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

Table 5: Response to stakeholder comments received but not (fully) accepted by the reviewers, where appropriate

Page Ref	Stakeholder comment	Evaluator Response
57-58	Give concrete examples of recommendations to be executed by different stakeholders.	Specific examples of actions that can be taken by stakeholders were included.

ANNEX II. PROJECT BUDGET AND EXPENDITURES

I. Table 8: Expenditure by Outcome/Output

Execution rate by component in USD

Components	Outcomes	GEF Project Financing	Confirmed Co-financing	Exp	Execution rate
1: Strengthening of Chile's Transparency framework for mitigation and adaptation actions	1.1. Climate data and analysis is integrated into policy making and international reporting	500,000	350,000		
	1.2. Chile's NDC is being tracked and evaluated	500,000	350,000		
	Total component 1	1,000,000		993,351	99,00%
2: Institutionalisation of the public climate expenditures	2.1 Public institutions report their climate expenditures and support received	120,000	70,000		
	Total component 2	120,000		101,557	84,63%
	Project Management Cost	112,000	100,000		
		112,000		112,000	100,00%
	Total project costs	1,232,000	870,000	1,296,908	97,00%

ANNEX III. BRIEF CV OF THE REVIEWER

Natalia Aquilino

Profession	Political Scientist
Nationality	Argentinean
Country experience	<ul style="list-style-type: none"> • Europe: England • Africa: Ethiopia,, Gana, Kenya • Americas: USA, Peru, Colombia, Belice, Mexico, El Salvador, Chile, Argentina • Asia: Pakistan, Thailand, Japan, Sri Lanka, Viet Nam, Cambodia, China, India
Education	<ul style="list-style-type: none"> • Licenciata at Political Science with a postgraduate degree on Local Development.

Short biography

Natalia has managerial experience in the governmental (Government of Argentina) and social sectors (CIPPEC, Evaluar), in the international intergovernmental sphere (UN, UNDP, UNEP) and in the high-tech industry (Neoris, Telecom Personal). She led multidisciplinary teams in Latin America and Argentina and managed expert knowledge in social and productive development, education, security and technology. She participated in international and intercultural research teams and change management processes for most of her career.

Natalia led more than 30 impact, outcome and process evaluation, designed M&E systems and advised on evaluation policies in Latin America and Argentina. Her research agenda includes evaluability of government programs, M&E systems design, policy influence strategies and accountability and her advocacy work aims at strengthening the institutionalisation of evaluation.

Currently, she is M&E National Director at the Secretary for Industrial Development of the Ministry of Economy in the Government of Argentina. Natalia also teaches planning and evaluation at postgraduate level for International and Argentinian National Universities such as ADEN School of Government (Panama), University of Bologna in Argentina (Italy), University of Saint Andrew and National Universities of Buenos Aires, Entre Ríos and Tucumán.

Previously she advised the Secretary of Strategic Affairs under the Presidency of the Nation on the design of the development assistance evaluation policy (2020-2022), performed as Policy Monitoring & Evaluation Director at CIPPEC (2012-2022), one of the leading think tanks in Latin America; and acted as United Nations Coordination Officer (2008-2012) and M&E Officer (2002-2008 at United Nations Development Programme (UNDP) in Argentina. In the private sector she was Customer Relationships Manager for Neoris (2000-2002) and Customer Leader for Telecom Italia Mobile (1997-2000) in Argentina.

She was founder and first chair of the Argentinean Evaluators Civil Association and is a member of the Argentinean Association of Public Administration Studies.

ANNEX IV. LIST OF STAKEHOLDERS CONSULTED

Ministry	Department	Name
Environment	Climate Change	Jenny Mager
	Mitigation and Climate Transparency	Camila Margarita Labarca Wyneken
Agriculture		Daniela Acuña Reyes
Office for Latin America and the Caribbean (ROLAC)	Project team	Soledad Palma
		Ana Almonacid
		Johanna Arriagada
		Valeria Pizarro
		Priscila Chavarría
		William Holness
United Nations Environment Programme (UNEP)	GEF Climate Change Mitigation Unit	Asher Lessels
		Ana Celeste Schweiger
		Taina Matos
		Renato Machado

ANNEX V. ONLINE SURVEY

Consulta de cierre del proyecto "Capacity building initiative for Transparency (CBIT Chile)"

Como parte de la revisión final de la iniciativa UNEP/GEF 9835 "Fortalecer y mejorar los mecanismos de transparencia de las instituciones nacionales chilenas para el reporte de convenciones nacionales y de la ONU" implementado por el Ministerio del Medio Ambiente del Estado de Chile, lo invitamos a dejar su opinión individual sobre algunos de los aspectos clave del proyecto. El objetivo es lograr una valoración amplia e informada de los resultados alcanzados, los principales hallazgos y recomendaciones de mejora.

La consulta es anónima y no le llevará más de 10 minutos. El formulario permanecerá abierto entre el 13 y el 27 de febrero. Puede reenviarlo a las personas que crea pueden contribuir con este ejercicio.

Agradecemos desde ya su tiempo y colaboración.

*Obligatorio

1. ¿Cómo calificaría su rol durante la ejecución del proyecto? *

- Toma de decisiones estratégicas
- Coordinación a distintos niveles (estratégico, financiero, operativo)
- Apoyo operativo y/o administrativo a la operación
- Ecosistema institucional de apoyo (ONG, Sector privado, Sistema ONU, otros actores internacionales)
- Otros

2. ¿Cómo valoraría el logro de los siguientes resultados buscados por el proyecto? *

	Totalmente logrado	Mayormente logrado	Medianamente logrado	Parcialmente logrado	No logrado
Fortalecimiento del Marco de Transparencia para acciones de mitigación y adaptación	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Integración de datos y análisis climáticos a las decisiones de políticas y reportes internacionales	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Seguimiento y evaluación de las Contribuciones Nacionalmente Determinadas (NDC)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Reporte de gastos y apoyos recibidos por las instituciones	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Obtener vínculo

3. ¿Cómo calificaría el peso de los siguientes productos en la integración de datos y análisis climáticos a las decisiones de políticas y reportes internacionales? *

	Fundamental para el logro del resultado	Aporte diferencial para el resultado	Contribución marginal
Plataforma centralizada de información	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Capacitación para proveedores y usuarios de datos	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lineamientos generales para asegurar consistencia y comparabilidad de las proyecciones de GHG	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Capacitación para que el servicio civil use la información en la toma de decisiones	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4. ¿Cómo calificaría el peso de los siguientes productos en el seguimiento y evaluación de las Contribuciones Nacionalmente Determinadas (NDC)? *

	Fundamental para el logro del resultado	Aporte diferencial para el resultado	Contribución marginal
Sistema para la evaluación y el seguimiento	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Métricas, indicadores y metodologías	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fortalecimiento de capacidades de monitoreo y evaluación	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

5. ¿Cómo calificaría el peso de los siguientes productos en el reporte de gastos y apoyos recibidos por las instituciones públicas? *

	Fundamental para el logro del resultado	Aporte diferencial para el resultado	Contribución marginal
Metodología para explicar el apoyo y responder a la estrategia de financiamiento	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Plan de capacitación sobre reporte de finanzas climáticas	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mejora al formulario de reporte de gastos	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Guía para el Reporte de Gastos Públicos	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

6. ¿Cuáles diría que fueron los principales desafíos para la ejecución del proyecto? *

- Los de gestión operativa (compras, contrataciones, pagos, etc.)
- Los de índole estratégica (coordinación, alineación con las prioridades nacionales, pandemia, situación social)
- Los de marco normativo y legal (regulaciones, procedimientos, procesos)
- Los técnicos (sistemas informáticos, acceso a herramientas útiles, conocimiento especializado)
- Todos los anteriores
- Ninguno

7. ¿Cuáles diría que fueron los principales facilitadores de la ejecución del proyecto? *

- Contexto internacional favorable y demandante del Marco de Transparencia
- Alineación con las prioridades de la política nacional de Cambio Climático
- Capacidades técnicas existentes en las instituciones parte del ecosistema del proyecto
- Cultura de la evidencia (uso de la información en el sistema político)
- Todos los anteriores
- Ninguno


8. Por favor, ¿podría indicar la relevancia del proyecto para la política nacional de Cambio Climático y la Contribución Nacional? *

	1	2	3	4	5	
Se hubiera avanzado igual en el fortalecimiento del Marco de Transparencia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Clave para avanzar en los desafíos del país en materia de generación de información y reporte sobre mitigación y adaptación

9. ¿Podría señalar un aprendizaje crítico que deja el proyecto en la institucionalidad chilena? *

Tu respuesta

[Obtener vínculo](#)

 Página 1 de 1

ANNEX VI. LIST OF DOCUMENTS CONSULTED

1. [Work Plan Chile CBIT 20211206](#) - Deliverables.
 1. Dissemination Events.
 2. International Training.
 3. Indicators.
 4. Mitigation partners.
 5. SC CBIT.

2. Climate Change Directorate [DCC](#)
 1. Project document [CEO DOC - 9835_CEO Approval Request_CBIT_Chile_01March2018](#)
 2. [TheoryOfChange_ChileCBIT](#)

3. [Progress Reports:](#)
 1. Expenditure: [Expenditures](#)
 2. Final Report: [Final Report](#)
 3. Progress report [HYPR](#)
 4. Inventories [Inventories](#)
 5. Project implementation report [PIR`s](#)
 6. [Cofinance](#)

4. [Component 1. Strengthening Transparency framework:](#)
 1. Output 1.1.1 - 1.1.2: Climate information and MRV: [Output 1.1.1 - 1.1.2](#)
 - i. Deliverables
 - ii. Minutes
 - iii. Presentations
 - iv. Reports
 - v. UNDP Administrative Docs
 - vi. UNEP Administrative Docs.
 2. Output 1.1.3 - 1.2.1: Emission projections and NDC: [Output 1.1.3 - 1.2.1](#)
 - i. Deliverables
 - ii. Indicators of Agriculture sector (DTU-CCG)
 - iii. LULUCF component of SNP
 - iv. National Prospective System (SNP)
 3. Output 1.1.4: Capacities for decision making: [Output 1.1.4](#)
 - i. Dissemination events.
 - ii. International Workshops.
 - iii. Training Reports.
 4. Output 1.2.2 - 1.2.3: Adaptation monitoring: [Output 1.2.2 - 1.2.3](#)
 - i. Administrative documents,
 - ii. Presentations
 - iii. Minutes
 - iv. Sector diagnosis
 - v. Guides "gender approach in climates Change"
 - vi. ECLP-Liviano
 - vii. Report Nov 2021.
 - viii. Improvements in the methodologies of the agropecuary sector.
 - ix. Indicators.

5. [Component 2. Institutionalisation climate expenditures](#)
 1. Minutes
 2. Trainings and Workshop
 3. Technical Presentations
 4. Database
 5. Complementary docs_climate investment

6. Climate Spending Compilation Guide
7. Guide Identif_Sustainable Investment 2022-2022.
8. Chile 4tg BUR 2020
9. Informe InvClimatica 2018-2020
10. Climate expenditures: methodologies, guidelines and results.

ANNEX VII. REVIEW TORS (WITHOUT ANNEXES)

TERMS OF REFERENCE

Terminal Review of the UNEP/GEF project 9835: “Strengthen and improve transparency mechanisms of Chilean national institutions for domestic and UN conventions reporting”

Section 1: PROJECT BACKGROUND AND OVERVIEW

Project General Information

Table 1. Project summary

UNEP Sub-programme:	Climate change	UNEP Division/Branch:	Climate change
Expected Accomplishment(s) :	Climate stability: Countries increasingly transition to low-emission economic development pathways and enhance their adaptation and resilience to climate change	Programme of Work Output(s): Programme of Work 2022-2023 Climate action sub programme	Outcome 1C: State and non-State actors adopt the enhanced transparency framework arrangements under the Paris Agreement. Indicator (iii): Number of national, subnational, and private-sector actors reporting under the enhanced transparency arrangements of the Paris Agreement with UNEP support
SDG(s) and indicator(s)	<p>SDG 13: Take urgent action to combat climate change and its impacts</p> <p>Target 13.2: Integrate climate change measures into national policies, strategies and planning</p> <p>Indicator 13.2.1: Number of countries with nationally determined contributions, long-term strategies, national adaptation plans, strategies as reported in adaptation communications and national communications</p> <p>Target 13.3: Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning</p>		

	Indicator 13.3.2: Number of countries that have communicated the strengthening of institutional, systemic and individual capacity building to implement adaptation, mitigation and technology transfer, and development actions		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7¹⁹)	N/A		
Dates of previous project phases:	N/A	Status of future project phases:	N/A

FROM THE PROJECT'S PIR REPORT:

Project Title:	Strengthening Chile's Nationally Determined Contribution (NDC) Transparency Framework
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Executing Agency:	UNEP, Regional Office for Latin America and the Caribbean
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Project partners:	Ministry of Environment (MMA)
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Geographical Scope:	National
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Participating Countries:	Chile
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GEF project ID:	9835	IMIS number*²⁰:	N/A
Focal Area(s):	Climate Change	GEF OP #:	
GEF Strategic Priority/Objective:	Strengthening Chile's Nationally Determined Contribution (NDC) Transparency Framework	GEF approval date*:	15/03/2018
UNEP approval date:	15/03/2018	Date of first disbursement*:	18/07/2018
Actual start date²¹:	18/07/2018	Planned duration:	36 months
Intended completion date*:	31/05/2022	Actual or Expected completion date:	31/05/2022
Project Type:	CBIT	GEF Allocation*:	US\$ 1,232,000
PPG GEF cost*:	30,000	PPG co-financing*:	0
Expected MSP/FSP Co-financing*:	US\$ 870,000	Total Cost*:	UD\$ 1,262,870
Mid-term Review/eval. (planned date):	N/A	Terminal Evaluation (planned date):	October 2022

¹⁹ This does not apply to Enabling Activities

²⁰ Fields with an * sign (in yellow) should be filled by the Fund Management Officer

²¹ Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

Mid-term Review/eval. (actual date):	N/A	No. of revisions*:	2
Date of last Steering Committee meeting:	06/12/2021	Date of Last Revision*:	20/04/2021
Disbursement as of 30 June 2022*:	US\$ 1,207,000	Date of planned financial closure*:	31/05/2023
Date of planned completion^{22*}:	31/05/2022	Actual expenditures reported as of 30 June 2022²³:	US\$ 113,9877
Total co-financing realised as of 31 June 2022:	\$1,030,159 (118%)	Actual expenditures entered in IMIS as of 31 December 2022*:	N/A
Leveraged financing:²⁴	0		

Project Rationale²⁵

The Paris Agreement (PA) calls for a robust system of Measurement, Reporting and Verification (MRV) to provide information on the measures taken and the support received, provided or accounted for the NDC or internationally transferred. Article 4th of the Paris Agreement (PA) requests for full, exhaustive, comparative, and robust account of the measures and action, for the Convention to be able to clearly assess the progressions and achievements made.

In particular, climate change is an increasingly important issue for Chile, since the country is vulnerable to diverse impacts, due to its geography and socio-economic characteristics. The Global Climate Risk Index by Germanwatch (2016) ranks Chile as number 10 on the most affected countries in 2015²⁶. For that reason, the government is putting in place many of the elements required for an effective policy response to climate change.

Chile has maintained a progressive vision on climate action transparency. For instance, it was the first Latin-American country to submit a Biennial Update Report (BUR) in 2014, while its second BUR was submitted in 2016 (Conference of the Parties (COP) 22). In that sense and although the orientations, modalities, procedures and guidelines for implementing the Enhanced Transparency framework (ETF) are still under revision of the Ad Hoc Working Group on the Paris Agreement (APA), Chile is already adapting its own framework, considering its own necessities and priorities as established in its NDC.

Key points to adapt Chile's framework include approaches to plan mitigation strategies to ensure the NDC target is achieved cost-effectively. Mitigation planning may require updates and increasing levels of ambition in order to achieve the NDC target (eventually, mitigation actions may not be as effective as initially planned). Tracking progress can be facilitated by breaking the NDC target for 2030 into a number of intermediate and closer targets. Planning towards cost-effective mitigation trajectories and avoiding technology lock-in can best be done based on a long-term mitigation target and a long-term mitigation strategy. However, due to delays in reporting and the long-term timeframe required for planning and implementing mitigation actions, tracking ex-post progress based on Greenhouse Gases

²² If there was a "Completion Revision" please use the date of the revision.

²³ Information to be provided by Executing Agency/Task Manager

²⁴ See above note on co-financing

²⁵ Grey =Info to be added

²⁶ <https://germanwatch.org/en/download/16411.pdf>

(GHG) inventory data (currently available with a delay of 3 years) and intermediate targets, leads to inadequate responses; mitigation planning would be updated too late to be useful.

Alternatively, emission projections including the expected GHG reductions through implemented and planned mitigation measures could regularly be compiled, updating them as necessary, and compared to intermediate targets, thus providing ex-ante information on progress. This can be used to adjust mitigation planning early on.

The CBIT support solicited will help Chile become a benchmark for the region in terms of the ETF, allowing it to implement and test systems related to transparency which have not been implemented in developing countries ever before. The implementation of these approaches would not only be of great benefit for Chile, but also for the rest of the region, and for developing countries worldwide.

Transparency Framework

A key milestone in this path was the voluntary commitment made in Copenhagen (COP15), which indicated Chile would perform Nationally Appropriate Mitigation Actions (NAMA) to achieve a deviation of 20% below the increasing trajectory of the 'business-as-usual' (BAU) emissions by 2020, forecasted since 2007. Still, Chile counts with no robust information regarding the progress of this commitment, mainly due to a lack of definition of the official BAU baseline and despite being a national goal to assess this effort as soon as possible.

After the Copenhagen commitment, the climate agenda in the country has gained strength. The National Action Plan on Climate Change 2017-2022 (PANCC II) included in its strategic pillars both issues of Adaptation and Mitigation. The objectives of these pillars are focused on the implementation of actions and the development of key elements to help Chile comply with the international commitments, including transparent reporting, and designing a long-term climate strategy.

One of the first steps to assess Chilean performance and to achieve proper and transparent reporting was the improvement of the National GHG inventory (NGHGI), which has been systematically enhanced to provide the best information available about emission features, sinks and trends. The NGHGI is periodically updated to comply with United Nations Framework Convention on Climate Change (UNFCCC) requirements.

However, the inventory is not developed enough in order to evaluate the actions taken to reduce the climate change impacts of Chile's development. A broader analysis of the mitigation initiatives and a robust system to gather information about the implementation of the NDC is needed. This would be useful not only to transparently inform the efforts taken by the country but also to enhance the planning of Chile's future climate pledges.

After the public announcement of the first iNDC and the adoption of the PA, MRV initiatives were assessed in order to identify the level of improvement and strengthening needed to serve as the basis for a new national tracking system under the ETF. This also included the challenge of measuring the progress not only for mitigation but also for adaptation actions as well. In that sense, Chile recognized the lack of metrics for tracking adaptation.

So far, almost all advances, in terms of transparency and MRV, have been undertaken with international support received in the last years. The projects indicated below and developed in Chile had the design, direct execution and leadership of professionals from the Climate Change Division, being a basis for the creation of this team's capabilities.

Project Results Framework

CBIT Chile is executed by UNEP and implemented in the Ministry of Environment of Chile. The main objective of CBIT Chile is to strengthen and improve transparency mechanisms of Chilean national institutions for domestic and UN convention reporting. The project activities (i.e. "outputs") are

arranged into four thematic components. Each set of outputs is expected to result in a specific outcome, which is either defined as the use of a product or service by intended beneficiaries, or the change in institutions or behaviours, attitudes, conditions, or environmental state. All these items are brought together in the project framework, which is presented below:

The project has 2 components and 11 outputs:

Component 1: Strengthening of Chile’s Transparency framework for mitigation and adaptation actions

- Centralised National Climate information platform established
- Training to data suppliers and platform users is delivered
- General guidelines and tools to ensure consistency and comparability of GHG emission projections among sectors are developed
- Training public servants to use this information in decision-making
- System for the evaluation and tracking of the NDC established
- Metrics and indicators, methodologies for tracking adaptation developed.
- Capacities in monitoring and evaluation of adaptation actions.

Component 2: Institutionalisation of the public climate expenditures

- Methodology to account for support and link with financing strategy developed.
- Training plan for public institutions on reporting climate finance delivered.
- Expense Report Form improved
- Guide for Reporting Public Expenditures published.

For further detailed information see the CEO:

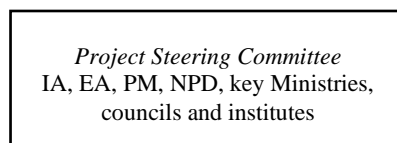
- Annex A: Focal Area Strategy Framework and Other Program Strategies p. 1
- Section B. Project description summary p 1.

Executing Arrangement

The project is funded by the Global Environment Facility (GEF) with the United Nations Environment Programme (UNEP) acting as the GEF Implementing Agency. The Ministry of Environment (MMA) is the Executing Agency with execution support from the Regional Office for Latin America and the Caribbean, as per the request letter from the country.

A project director in the MMA is responsible for the execution of the project. A project steering committee (PSC) is the highest decision-making authority of this project and is composed of high-level representatives of different ministries of the Chilean government. The main role of the PSC is (i) to guide and oversee the technical progress and performance of the Project, and (ii) to enhance and optimise the contributions of various partner organisations through coordination of all activities and inputs. PSC meetings are formally called by the National Project Director at least twice a year to discuss the project performance and provide future guidance.

In its role as GEF Implementing Agency, UNEP (through its Industry Economy Division, and represented by a Task Manager) provides project oversight to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes in an efficient and effective manner. This way, different offices within UNEP perform different roles, i.e. either as Executing Agency (ROLAC) or as Implementing Agency (i.e. UNEP’s Industry and Economy Division).



Implementing Agency (IA)
UN Environment

Report

Executing Agency (EA)
Ministry of
Environment with
support from ROLAC

Transparency Task Force
Focal points from line ministries, private sector, civil society organizations and academic
institutions

For further detailed information see the CEO:

- Annex H: Project Implementation Arrangements p. 54
- Annex K: Gef operational focal point endorsement letter and request of support p.60

Project Cost and Financing

The project's budget consists of a GEF grant and co-finance from various partners. Contributions from the GEF can be classified according to their contribution to the Fund's Focal Area objectives as depicted in the table below.

Project Objective: Strengthen and improve transparency mechanisms of Chilean national institutions for domestic and UN conventions reporting			
Project Outcomes	Project Outputs	(in \$)	
		GEF Project Financing	Confirmed Co-financing
1.1. Climate data and analysis is integrated into policy making and international reporting	1.1.1 Centralised National Climate information platform established 1.1.2 Training to data suppliers and platform users is delivered 1.1.3 General guidelines and tools to ensure consistency and comparability of GHG emission projections among sectors are developed 1.1.4 Training to public servants to use this information on decision-making	500,000	350,000
1.2. Chile's NDC is being tracked and evaluated	1.2.1 System for the evaluation and tracking of the NDC established 1.2.2 Metrics and indicators, methodologies for tracking adaptation developed 1.2.3 Capacities on monitoring and evaluation of adaptation actions/measures strengthened in at least one sector	500,000	350,000
2.1 Public institutions report their climate expenditures and support received	2.1.1: Methodology to account for support and link with financing strategy developed 2.1.2 Training plan for public institutions on reporting climate finance delivered 2.1.3: Expense Report Form improved 2.1.4: Guide for Reporting Public Expenditures published	120,000	70,000
		1,120,000	770,000
		-	100,000
		1,232,000	870,000

Please see the details of the project Cost and Financing on the CEO:

- Annex C: Status of implementation of project preparation activities and the use of funds. p.36
- Annex F1: Detailed GEF budget p.48
- Annex F2: Detailed cofinance budget. p.50

Implementation Issues

Major risks during the project existed because of the national social outbursts and international health situation and the uncertainty both generated. The project adjusted to the “new” reality and developed new executing arrangements to keep the project on track independently of future lockdown scenarios. These adjustments minimised project risks. It could be noted that during the early years of the project, several challenges and delays were faced, mainly due to administrative barriers and country contingencies (COP25 Presidency, Political/Social Crisis, COVID-19). This implied the need to request an extension of the project.

The coordination with the UN Environment Regional Office for Latin America and the Caribbean has been strengthened during all the implementation of CBIT Chile, which has allowed for more efficient fulfilment of project activities and outputs. Likewise, the work with CBIT Chile's Project Manager has been key to being able to carry out exhaustive monitoring of the project's expenses and progress, in a coherent and efficient way. The project did suffer from the departure of the Project Manager before project conclusion.

In 2020 and 2021 the country has undergone multiple electoral processes and the project has adapted to deliver its outputs – even in the current context of a pandemic. To this end, capacity building and dissemination work has been intensified and the project has been incorporated as part of the country's different climate change management instruments (e.g. Framework Law on Climate Change, NDC, LTS and 4th BUR), with the objective of institutionalising and giving continuity to the different activities and products within the framework of CBIT Chile.

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

Objective of the Review

In line with the UNEP Evaluation Policy²⁷ and the UNEP Programme Manual²⁸, the Terminal Review (TR) is undertaken at operational 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 Review 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 and UN Environment, Regional Office for Latin America, and the Caribbean (ROLAC) in representation of the Ministry of Environment. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation, especially for future phases of the project, where applicable.

Key Review principles

Review findings and judgements will be based on **sound evidence and analysis**, clearly documented in the Review 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 mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

²⁷ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

²⁸ <https://wecollaborate.unep.org>

The “Why?” Question. As this is a Terminal Review and a follow-up project is possible particular attention will be given to learning from the experience. Therefore, the “why?” question should be at the front of the consultant(s)’ minds all through the review exercise and is supported by the use of a theory of change approach. This means that the consultant(s) need 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 (i.e. what contributed to the achievement of the project’s results). This should provide the basis for the lessons that can be drawn from the project.

Attribution, Contribution and Credible Association: In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for reviews. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

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

Key Strategic Questions

In addition to the review criteria outlined in Section 10 below, the Review will address the **strategic questions**²⁹ listed below (no more than 3 questions are recommended). These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution. Also included are five questions that are required when reporting in the GEF Portal and these must be addressed in the TR:

Q1: Did the State and non-State actors participating in the project adopt the enhanced transparency framework arrangements under the Paris Agreement?

Q2: Does the country Strengthen and improve transparency mechanisms of National institutions for domestic and UN conventions reporting?

Q3: Did the State and non-State actors participating in the project adopt the new tools developed by the project

Q4: Was the project executed efficiently?

Q5: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project’s performance?

²⁹ The strategic questions should not duplicate questions that will be addressed under the standard review criteria described in section 10.

Address the questions required for the GEF Portal in the appropriate parts of the report and provide a **summary of the findings in the Conclusions section of the report:**

a) Under Monitoring and Reporting/Monitoring of Project Implementation:

What was the performance at the project's-completion against Core Indicator Targets? (For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided³⁰).

b) Under Factors Affecting Performance/Stakeholder Participation and Cooperation:

What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)*

c) Under Factors Affecting Performance/Responsiveness to Human Rights and Gender Equality:

What were the completed gender-responsive measures and, if applicable, actual gender result areas? *(This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent)*

d) Under Factors Affecting Performance/Environmental and Social Safeguards:

What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. *(Any supporting documents gathered by the Consultant during this Review should be shared with the Task Manager for uploading in the GEF Portal)*

e) Under Factors Affecting Performance/Communication and Public Awareness:

What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

Review Criteria

All review criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the review criteria. The set of review 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.

Annex 1 of these Terms of Reference provides a table with a list of various tools, templates and guidelines that can help Review Consultant(s) to follow a thorough review process that meets all of UNEP's needs.

A. Strategic Relevance

The Review will assess the extent to which the activity is suited to the priorities and policies of the donors, implementing regions/countries and the target beneficiaries. The Review 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:

³⁰ This does not apply to Enabling Activities

i. Alignment to the UNEP's Medium-Term Strategy³¹ (MTS), Programme of Work (POW) and Strategic Priorities

The Review 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. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building³² (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.

ii. Alignment to Donor/GEF/Partner Strategic Priorities

Donor strategic priorities will vary across interventions. The Review will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

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

The Review will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. 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 will also be considered. Examples may include UN Development Assistance Frameworks (UNDAF) or, national or subnational development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no-one behind.

iv. Complementarity with Relevant Existing Interventions/Coherence³³

An assessment will be made of how well the project, either at design stage or during the project inception or mobilisation³⁴, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) that address similar needs of the same target groups. The Review 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, optimised any synergies and avoided duplication of effort. Examples may include work within UNDAFs 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

³¹ 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>

³² <http://www.unep.fr/ozonaction/about/bsp.htm>

³³ This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

³⁴ A project's inception or mobilisation period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

The quality of project design is assessed using an agreed template during the review inception phase. Ratings are attributed to identified criteria and an overall Project Design Quality rating is established. The complete Project Design Quality template should be annexed in the Review Inception Report. Later, the overall Project Design Quality rating³⁵ should be entered in the final review ratings table (as item B) in the Main Review Report and a summary of the project's strengths and weaknesses at design stage should be included within the body of the Main Review Report.

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 review inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval³⁶). This rating is entered in the final review 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 Review Consultant and Task Manager together. A justification for such an increase must be given.

D. Effectiveness

i. Availability of Outputs³⁷

The Review will assess the project's success in producing the programmed outputs and making them available to the intended beneficiaries as well as its success in 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 Theory of Change (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. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Review will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs available and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision³⁸

ii. Achievement of Project Outcomes³⁹

³⁵ In some instances, based on data collected during the review process, the assessment of the project's design quality may change from Inception Report to Main Review Report.

³⁶ 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. From March 2020 this should include the effects of COVID-19.

³⁷ 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).

³⁸ For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping provided by UNEP, as Implementing Agency.

³⁹ Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behaviour, attitude or condition (UNEP, 2019)

The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed⁴⁰ 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. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used to show where substantive amendments to the formulation of project outcomes is necessary to allow for an assessment of performance. The Review 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
- 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 Review 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 reviews is outlined in a guidance note 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 Review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g. will vulnerable groups such as those living with disabilities and/or women and children, be disproportionately affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.

The Review will consider the extent to which the project has played a catalytic role⁴¹ or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly as in a project with a demonstration component or implicitly as expressed in the drivers required to move to outcome levels) and as factors that are likely to contribute to greater or long lasting 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-lasting or broad-based changes. However, the Review 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

⁴⁰ UNEP staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during a review 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 changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the review.

⁴¹ The terms *catalytic effect*, *scaling up* and *replication* are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. *Catalytic effect* is associated with triggering additional actions that are not directly funded by the project – these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. *Scaling up* and *Replication* require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. *Scaling up* suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while *Replication* suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.

intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partner(s).

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 Review 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/component level and will be compared with the approved budget. The Review 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 Review will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The Review will assess the level of communication between the Project 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.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

Under the efficiency criterion the Review 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.

Focusing 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 Review 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 Review 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 Review 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 complementarities⁴² with other initiatives, programmes and projects etc. to increase project efficiency.

The factors underpinning the need for any project extensions will also be explored and discussed. Consultants should note that as management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to UNEP and Executing Agencies.

⁴² Complementarity with other interventions during project design, inception or mobilisation is considered under Strategic Relevance above.

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 Review 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 SMART⁴³ results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities. In particular, the Review will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The Review 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, where applicable.

ii. Monitoring of Project Implementation

The Review will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards project objectives throughout the project implementation period. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups, including gendered, marginalised or vulnerable groups, such as those living with disabilities, in project activities. It will also consider the quality of the information generated by the monitoring system during project implementation and how it was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The Review should confirm that funds allocated for monitoring were used to support this activity.

The performance at project completion against Core Indicator Targets should be reviewed. For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided.

iii. Project Reporting

UNEP GEF projects are required to report periodically to UNEP and the GEF through half-yearly and project implement review reports. These will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The Review will assess the extent to which both UNEP and GEF 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

⁴³ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

Sustainability⁴⁴ is understood as the probability of the benefits derived from the achievement of project outcomes being maintained and developed after the close of the intervention. The Review will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (i.e. '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 direct outcomes may also be included.

i. Socio-political Sustainability

The Review will assess the extent to which social or political factors support the continuation and further development of the benefits derived from 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 Review 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 natural resource management approach. The Review 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 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 Review 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 Review 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 Affecting Project Performance and Cross-Cutting Issues

(These factors are rated in the ratings table but are discussed within the Main Review Report as cross-cutting themes as appropriate under the other review criteria, above. If these issues have not been addressed under the Review Criteria above, then independent summaries of their status within the reviewed project should be given in this section)

⁴⁴ As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

i. Preparation and Readiness

This criterion focuses on the inception or mobilisation stage of the project (i.e. the time between project approval and first disbursement). The Review 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 Review 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

For GEF funded projects 'project management and supervision' may refer to the project management performance of the Executing Agency and the technical backstopping and supervision provided by UNEP as Implementing Agency. The performance of parties playing different roles should be discussed and a rating provided for both types of supervision (UNEP/Implementing Agency; Partner/Executing Agency) and the overall rating for this subcategory established as a simple average of the two.

The Review 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.); maintaining project relevance within changing external and strategic contexts; 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, target users of project outputs and any other collaborating agents external to UNEP and the executing partner(s). 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.

The progress, challenges and outcomes regarding engagement of stakeholders in the project/program occurring since the MTR should be reviewed. This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval.

iv. Responsiveness to Human Rights and Gender Equality

The Review 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 Review will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment⁴⁵.

The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equality and Human Rights are adequately taken into account. In particular the Review will consider to what extent project implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children and those living with disabilities) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially women, youth and children and those living with disabilities) in

⁴⁵The 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

mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

The completed gender-responsive measures and, if applicable, actual gender result areas should be reviewed. This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent.

v. Environmental and Social Safeguards

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The Review will confirm whether UNEP requirements⁴⁶ were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are reviewed above under Quality of Project Design).

The Review will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

Implementation of the management measures against the Safeguards Plan submitted at CEO Approval should be reviewed, the risk classifications verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. Any supporting documents gathered by the Consultant should be shared with the Task Manager.

vi. Country Ownership and Driven-ness

The Review 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, i.e. either: a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The Review 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 (e.g. representatives from multiple sectors or relevant ministries beyond the Ministry of Environment). 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 gender and marginalised groups.

vii. Communication and Public Awareness

The Review 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 Review 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 Review will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate

The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication

⁴⁶For 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 2016. In GEF projects safeguards have been considered in project designs since 2011.

Strategy; Lessons Learned and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES

The Terminal Review will be an in-depth review using a participatory approach whereby key stakeholders are kept informed and consulted throughout the review process. Both quantitative and qualitative review 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) maintain close communication with the project team and promote information exchange throughout the review implementation phase in order to increase their (and other stakeholder) ownership of the review findings. Where applicable, the consultant(s) should 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 Review will be based on the following:

(a) **A desk review of:**

- Relevant background documentation, inter alia.
- Project Document and Appendices. This includes, among others, relevant work plans, budget and supervision plans, as well as any revisions introduced after approval.
- Theory of change, problem tree, and logical framework.
- Project reports, including: half year progress reports, project implementation reports (PIRs), expenditure reports, financial statements, audits, inventory reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and Tracking Tool;
- Evaluations/Reviews of similar projects.
- 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, including half year progress reports, project implementation reports (PIRs), expenditure reports, financial statements, audits, inventory reports, progress reports from collaborating partners, meeting minutes, relevant correspondence, and the Tracking Tool
- Evaluations/Reviews of similar projects.

(b) **Interviews** (individual or in group) with:

- UNEP Task Manager (TM);
- Project Manager (PM)
- Project management team;
- UNEP Fund Management Officer (FMO);
- Portfolio Manager and Sub-Programme Coordinator, where appropriate;
- Project partners, including;
- Relevant resource persons;
- Representatives from civil society and specialist groups (such as women's, farmers and trade associations etc).

(c) **Other data collection tools: If needed, to be agreed between the Task Manager, the Project Manager and the MTR consultant at the inception phase.**

(d) **Surveys**

- (e) **Field visits**
- (f) **Other data collection tools**

Review Deliverables and Review Procedures

The Review Consultant will prepare:

- **Inception Report:** (see Annex 1 for a list of 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, review framework, and a tentative review 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.
- **Draft and Final Review Report:** containing an executive summary that can act as a stand-alone document; detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated rating table.

A **Review Brief** (a 2-page overview of the evaluation and review findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Task Manager no later than during the finalisation of the Inception Report.

Review of the Draft Review Report. The Review Consultant will submit a draft report to the Task Manager and revise the draft in response to their comments and suggestions. The Task Manager will then forward the revised draft report 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 Task Manager for consolidation. The Task Manager will provide all comments to the Review Consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

The final version of the Terminal Review report will be assessed for its quality by the UNEP Evaluation Office using a standard template and this assessment will be annexed to the final Terminal Review report.

At the end of the review process, the Task Manager will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals, and circulate the **Lessons Learned**.

The Review Consultant

The Review Consultant will work under the overall responsibility of the Task Manager Asher Lessels, supported by project specialist Ana Celeste Schweiger, in consultation with the Fund Management Officer Fatma Twahir, the Head of Unit/Branch Mark Radka the Portfolio Managers Ruth Zugman Do Coutto and Geordie Colville and the Climate Change Coordinator of the Regional Office for Latin America and the Caribbean, Gustau Manez.

The Review Consultant will liaise with the Task Manager on any procedural and methodological matters related to the Review. It is, however, the consultant's individual responsibility (where applicable) to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organise online surveys, obtain documentary evidence, and any other logistical matters related to the assignment. The UNEP Task Manager and the project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the Review as efficiently and independently as possible.

The Review Consultant will be hired over a period of 9 months and should have the following: a university degree in environmental sciences, international development, or other relevant political or

social sciences area is required and an advanced degree in the same areas is desirable; a minimum of 7 years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a good/broad understanding of Climate Changes Transparency Projects is desired. English, French and Spanish are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English and Spanish is a requirement. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with possible field visits.

The Review Consultant will be responsible, in close consultation with the Task Manager, for overall quality of the review and timely delivery of its outputs, described above in Section 11 Review Deliverables, above. The Review Consultant will ensure that all review criteria and questions are adequately covered.

Schedule of the Review

The table below presents the tentative schedule for the Review.

Table 3. Tentative schedule for the Review

Milestone	Tentative Dates
Inception Report	31/09/2022
Review Mission	15/10/2022
E-based interviews, surveys etc.	31/10/2022
PowerPoint/presentation on preliminary findings and recommendations	31/11/2022
Draft Review Report to Task Manager (and Project Manager)	7/12/2022
Draft Review Report shared with wider group of stakeholders	15/12/2022
Final Review Report	15/01/2023
Final Review Report shared with all respondents	15/02/2023

Contractual Arrangements

The Review Consultant(s) will be selected and recruited by the Task Manager under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP/UNION, the consultant certifies that they have not been associated with the design and implementation of the project in any way which may jeopardise 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 and approval by the Task Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment:

US\$ 24,000 payable for technical work in accordance with the following deliverables:

Deliverables	Deadline	Amount (USD)
Approved Inception Report for project GEFID 9835	15/01/2023	4,000
Final terminal review report for project GEFID 9835	15/03/2023	8,000
Approved Inception Report for project GEFID 10023	30/04/2023	4,000
Final terminal review report for project GEFID 10023	15/07/2023	8,000

Fees only contracts: Where applicable, 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 Task Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

The consultant may be provided with access to UNEP's information management systems (e.g. PIMS, Anubis, SharePoint, etc.) 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 Review Report.

In case the consultant is not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by UNEP, payment may be withheld at the discretion of the Head of Branch or Portfolio Manager until the consultants have improved the deliverables to meet UNEP's quality standards.

If the consultant fails to submit a satisfactory final product to the Project Manager in a timely manner, i.e. before the end date of their contract, UNEP reserves the right to employ additional human resources to finalise the report, and to reduce the consultant's fees by an amount equal to the additional costs borne by the project team to bring the report up to standard or completion.

ANNEX VIII. QUALITY ASSESSMENT OF THE REVIEW REPORT (PROVIDED BY THE UNEP EVALUATION OFFICE)

Review Title: *Strengthening Chile’s Nationally Determined Contribution (NDC) Transparency Framework*

Consultant: Natalia Aquilino

All UNEP Reviews are subject to a quality assessment by the UNEP Evaluation Office. This is an assessment of the quality of the review product (i.e. Main Review Report).

	UNEP Evaluation Office Comments	Final Review Report Rating
Substantive Report Quality Criteria		
<p>Quality of the Executive Summary:</p> <p>The Summary should be able to stand alone as an accurate summary of the main review product. It should include a concise overview of the review object; clear summary of the review objectives and scope; overall project performance rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the review 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 review questions), lessons learned and recommendations.</p>	<p>Final report:</p> <p>The Executive Summary does not stand alone as an accurate summary of the main review product. The reader is advised to read the full Review Report.</p> <p>The Project Background section, is very long and poorly structured. It contains material of varied relevance to an Exec Summary. The mixing of verb tenses makes it difficult to understand the text.</p> <p>The section on Key Findings is limited, focusing largely on a summary of the quality of the project design. It does not, itself, provide sufficient summarised information to support a HS performance rating.</p> <p>Paras 18 and 21 contradict each other as Quality of Project Design is rated as Satisfactory but then identified as the single area that would have benefited from further attention.</p>	<p>2</p>

<p>I. Introduction</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 review; 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 reviewed/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 review and the key intended audience for the findings?</p>	<p>Final report:</p> <p>Neither the Executing Agency (UNEP Regional Office for Latin America and the Caribbean) nor the Project Partner (Ministry of Environment, MMA) are mentioned.</p> <p>It is not clear what 'Corporate Results Framework' is being referred to.</p> <p>The term '5Cs' is not explained, nor does it appear in the accronyms.</p>	<p>2</p>
<p>II. Review Methods</p> <p>A data collection section should include: a description of review 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.). Efforts to include the voices of different groups, e.g. vulnerable, gender, marginalised etc) should be described.</p> <p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their 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 review limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider review 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. E.g. <i>'Throughout the review process and in the compilation of the Final Review Report efforts have been made to represent the views of both mainstream and more marginalised groups. All efforts to provide respondents with anonymity have been made'</i></p>	<p>Final report:</p> <p>READER BEWARE: the sample group who responded to the survey is too small (8 people) for any robust statistical data to be extracted or to be meaningful as evidence of a fact. The % figures provided are misleading (i.e. 12.5% of 8 people is one person). This occurs throughout the report, wherever survey responses are presented the number of responses can be no more than 8 people.</p> <p>This section mistakenly refers to 'strategic questions' posed in the TOR for this Review. The TOR only include the 5 questions necessary for uploading to the GEF Portal.</p> <p>A 'significant' time lapse between operational completion and the review period is mentioned. However, the project reached completion in March 2022 (Table 1 of the Report) and the review data collection period was 'November 2022 – March 2023'. The Review began 7 months after project completion and this is not considered a significant period that would cause 'weak recall'.</p>	<p>2</p>

<p>III. The Project</p> <p>This section should include:</p> <ul style="list-style-type: none"> • <i>Context</i>: 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). • <i>Results Framework</i>: Summary of the project’s results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders</i>: Description of groups of targeted stakeholders organised according to relevant common characteristics • <i>Project implementation structure and partners</i>: A description of the implementation structure with diagram and a list of key project partners • <i>Changes in design during implementation</i>: Any key events that affected the project’s scope or parameters should be described in brief in chronological order • <i>Project financing</i>: Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 	<p>Final report:</p> <p>The Context section is largely a repeat of the Executive Summary Project Description section.</p> <p>The TOC diagram is presented in place of the results hierarchy and so there is no presentation of indicators/targets.</p> <p>Has reference to the PMR project, which is not named in full nor is it in the acronyms list.</p> <p>The Table on Stakeholder Roles is written in the future tense which suggests it might have been copied from the project document. From this report it can only be <i>assumed</i> that the roles were taken up as intended.</p> <p>Similarly, the table of project governance reads as if copied from the project document and the frequency of meetings reads as if ‘intentional’. This table cannot be taken to confirm that the meetings took place.</p> <p>Para 56 contradicts the Project Identification Table. It is not clear whether the UNEP Regional Office for LAC was the Executing Agency or if that role was played by the Ministry of Environment, as stated in para 56.</p>	<p>3</p>
<p>IV. Theory of Change</p> <p>The reconstructed TOC at Review 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 <i>TOC at Review</i>⁴⁷ was designed (who was involved etc.) and applied to the context of the project? Where different</p>	<p>Final report:</p> <p>The text does not differentiate between drivers and assumptions although the significance of these contributing conditions holding or not holding is clear in the TOC diagram. Drivers are external factors that are under the sphere of influence of the project (e.g. through selection of participants, quality of training, non-tangible features of the</p>	<p>3</p>

⁴⁷ During the Inception Phase of the review process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the review process this TOC is revised based on changes made during project intervention and becomes the *TOC at Review*.

<p>groups (e.g. vulnerable, gender, marginalised etc) are included in, or affected by the project in different ways, this should be reflected in the TOC.</p> <p>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 Review. <i>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'.</i> This table may have initially been presented in the Inception Report and should appear somewhere in the Main Review report.</p>	<p>project approach etc). The 3 Drivers are identified in the TOC as: Capacity built is retained; Technical experts in the different ministries are trained and Private sector reports carbon emissions.</p> <p>This section poses the question of whether the project would be able to generate sufficient buy in for the platform to be used. This needs to be addressed in the Findings.</p> <p>Para 64 does not provide sufficient detail to support the claim that the baseline was robust. The aspects of the NDC monitoring that were built upon in this project, or had the potential to support this project should have been described by the Reviewer to make this relevant and useful information.</p> <p>Para 64 and 65 fall short of their potential utility as the indicators and targets are not presented within the report for the reader to consider.</p> <p>Para 66 expresses potential and intentions but gender dimensions are not illustrated in the TOC and evidence would be needed under Findings for this para to be used as evidence of gender-related efforts or results.</p>	
<p>V. Key Findings</p> <p>A. Strategic relevance:</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/mobilisation⁴⁸) 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>	<p>Final report:</p> <p>READER BEWARE: the sample group who responded to the survey is too small (8 people) for any robust statistical data to be extracted or to be meaningful as evidence of a fact.</p> <p>Para 79 and Tables 4 and 5 present a total of 12 internationally-funded projects related with the ETF and capacity building around Climate Change as evidence of complementarity. However, the Reviewer has not mentioned the potential for duplication of effort nor any possible</p>	<p>3</p>

⁴⁸ 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.

<ol style="list-style-type: none"> 1. Alignment to the UNEP Medium Term Strategy (MTS), Programme of Work (POW) and Strategic Priorities 2. Alignment to Donor/Partner Strategic Priorities 3. Relevance to Regional, Sub-regional and National Environmental Priorities 4. Complementarity with Existing Interventions 	<p>resistance in adopting change which could be a reasonable question given the apparent similarity of the projects' focus.</p>	
<p>B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final report:</p> <p>Some elements are described in detail and the inclusion of the UNEP Evaluation Office table on quality of project design transparency into the rating (Satisfactory) is appreciated.</p> <p>Paras 86 – 89 would have made a good contribution to the discussion of the TOC.</p>	<p>3</p>
<p>C. Nature of the External Context For projects where this is appropriate, key external features of the project's implementing context that may have been reasonably expected to limit the project's performance (e.g. conflict, natural disaster, political upheaval⁴⁹) and how they have affected performance, should be described.</p>	<p>Final report:</p> <p>The effect of COVID-19 seems underestimated as a) the project was running through the height of the pandemic (18.07.2018 – 31.03.22); b) the project was heavily dependent on the involvement of government ministries whose attention was 'completely shifted' and c) the TOC is dependent on systems and capacity being developed. The sustained unrest (Oct 2019 – March 2020) also represents a significant and unexpected disruptive factor.</p>	<p>3</p>
<p>D. Effectiveness (i) Outputs and Project Outcomes: 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><u>OUTPUTS:</u></p> <p>The delivery of output 1.1.1 as a centralised/multi sectoral platform, is limited by para 101 <i>"Nevertheless, the design of an information exchange interphase to share data among sectors could not be completed and did not include existing functionalities of SNICHILE enabling users to report data for</i></p>	<p>4</p>

⁴⁹ 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><u>the inventory and help facilitate the production of the information needed for the BUR and national communication as planned</u>".</p> <p>The utility of the output is also limited in para 101 by the finding that <u>"The type of platform achieved did not incorporate interactive tools to address different types of audiences so it couldn't enable to look at the implication of low carbon pathways depending on progress in activities in 1.1.3 and 1.2.</u></p> <p><u>Para 102 is ambiguous, not making it clear if this was an intention or delivered through this output.</u></p> <p>Under output 1.1.2 no data are provided on numbers trained against targets, number of workshops are mentioned in a later output.</p> <p>Survey questions introducing the graphs are not in English.</p> <p>The link to the project's outputs does not work.</p> <p><u>OUTCOMES:</u></p> <p>The analysis relies heavily on the delivery of the outputs and assessment of their quality/utility. There is no discussion of the causal pathway relating the outputs to outcomes and no discussion of drivers and assumptions.</p>	
<p>(ii) Likelihood of Impact: 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>Final report:</p> <p>The section does not discuss drivers and assumptions within a causal path context. In particular, participation by the private sector is identified in the assumptions, yet there is no mention of their involvement in the project's ambitions or efforts.</p>	<p>2</p>

<p>E. Financial Management</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"> • <i>adherence</i> to UNEP's financial policies and procedures • <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used • <i>communication</i> between financial and project management staff 	<p>Final report:</p> <p><i>(if this section is rated poorly as a result of limited financial information from the project, this is not a reflection on the consultant per se, but will affect the quality of the review report)</i></p> <p>The Table III-1 referred to as containing financial information was not found within the report.</p> <p>The template provided by the UNEP Evaluation Office to record findings on the three sub-categories of financial management is not provided within the report.</p> <p>Annex II provides the basic expenditure information by component.</p>	<p>2</p>
<p>F. Efficiency</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"> • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • 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. • The extent to which the management of the project minimised UNEP's environmental footprint. 	<p>Final report:</p> <p>The section is brief but notes that there were no extensions and the relationships with other initiatives are described elsewhere in the report.</p>	<p>4</p>
<p>G. Monitoring and Reporting</p> <p>How well does the report assess:</p> <ul style="list-style-type: none"> • Monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>) • Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) • Project reporting (<i>e.g. PIMS and donor reports</i>) 	<p>Final report:</p> <p>The section on Monitoring and Reporting is extremely brief and problematic:</p> <ul style="list-style-type: none"> - No indicators or targets are discussed within this report 	<p>2</p>

	<ul style="list-style-type: none"> - A budget was provided for a mid-term performance assessment but there is no discussion of why this was not carried out - The sentence in para 138 cannot be understood within its context: '<i>A mid-term review was deemed necessary due to the fact that the Project was underperforming after 4.5-years of implementation.</i>' <ul style="list-style-type: none"> - The lack of reporting on GHG emissions reductions is mentioned in para 138 but the Review report presents no indicators and targets so it is unclear if this reporting was intended. 	
<p>H. Sustainability</p> <p>How well does the review 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"> • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability (<i>including issues of partnerships</i>) 	<p>Final report:</p> <p>A brief section but the previous sections of the report support a rating of Likely</p>	4
<p>I. Factors Affecting Performance</p> <p>These factors are <u>not</u> discussed in stand-alone sections but are integrated in criteria A-H as appropriate. Note that these are described in the Review Criteria Ratings Matrix. To what extent, and how well, does the review report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> • Preparation and readiness • Quality of project management and supervision⁵⁰ • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Environmental and social safeguards • Country ownership and driven-ness • Communication and public awareness 	<p>Final report:</p> <p>The sections are brief with no reference to other parts of the report. Two sub-categories are not rated.</p>	3
<p>VI. Conclusions and Recommendations</p>	<p>Final report:</p>	4

⁵⁰ 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 overall supervision/technical backstopping provided by UNEP, as the Implementing Agency. Comments and a rating should be provided for both types of supervision and the overall rating for this sub-category established as a simple average of the two.

<p>Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section.</p> <p>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>The conclusions are brief and summarise the key findings of the report.</p>	
<p>ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit review 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>Final report:</p> <p>The lessons are relevant.</p>	4
<p>iii) Quality and utility of the recommendations:</p> <p>To what extent are the recommendations <u>proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results?</u> 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>Final report:</p> <p>Two of the three recommendations are of a broad nature and will only be actionable if the project team have upcoming projects through which they can respond.</p>	4

VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete, including a gender disaggregation total for respondents.	Final report: Annex to support findings on financial management are not provided and respondents' gender is not marked.	3
ii) Quality of writing and formatting: 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 UNEP Evaluation Office formatting guidelines?	Final report: The writing is on the weaker side and the report should have been given a thorough edit. In some cases the meaning of sentences is unclear and, where verb tenses have been mixed, it is not clear whether an intention or a result is being described.	3
OVERALL REPORT QUALITY RATING		3 Moderately Unsatisfactory

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 review report is calculated by taking the mean score of all rated quality criteria.