



UNDP Vertical Fund Guidance

2020 GEF Annual Monitoring Process



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A. Project-level reports to be submitted as part of the 2020 GEF Annual Monitoring Process

1. Project Implementation Reports (PIRs):

- a. All full-sized projects (FSP) and medium-sized projects (MSP) financed by GEF/LDCF/SCCF/NPIF/CBIT must submit a PIR each year of project implementation.
- b. Projects with a project document signature date on or before 30 June 2019 must complete a 2020 PIR.
- c. Expedited EAs and MSPs¹ with a project budget under USD 1,000,000 do not need to complete a PIR however a brief update on the status and disbursement of the GEF grant must be provided to the GEF annually. The UNDP Vertical Fund Directorate will prepare this update based on data in PIMS+ and will liaise with Programme Associates if necessary.
- d. FSPs and MSPs do not need to submit a 2020 PIR if that project’s draft or finalized Terminal Evaluation report is posted in [PIMS+](#) by **31 May 2020**. Please notify the Ciara (ciara.daniels@undp.org) and Margarita (margarita.arguelles@undp.org) of all such

¹ Some teams may still require MSPs with a budget under USD 1,000,000 to complete a PIR. Also, MSPs with a budget under USD 1,000,000 that have previously submitted the PIR will continue to submit the PIR.

postings. If this deadline is not met, then a 2020 PIR must be submitted to the GEF to ensure compliance with annual reporting requirements.

2. Country Office Timesheets:

- a. UNDP Country Offices must complete the mandatory Country Office timesheet in [PIMS+ CO Dashboard](#).

3. Midterm review (MTR) reports and the corresponding midterm GEF Core Indicators (GEF-6 projects) and GEF Tracking Tool (older projects):

- a. Please see Annex 2 for further information, including on the GEF Core Indicators requirement.
- b. Note the GEF Core Indicators requirement strictly applies to GEF-6 projects, which are no longer required to prepare GEF Tracking Tools (except for the METT) and must instead prepare the Core Indicators.
- c. Full-size projects that will submit the 3rd PIR in 2020 are expected to submit the MTR to the GEF this year. FSPs with shorter durations may need to carry out an MTR before the 3rd PIR.
- d. MTR reports and midterm GEF Core Indicators / Tracking Tools prepared in 2020 will be submitted to the GEF Secretariat on a rolling basis via the GEF Portal.
- e. MTRs are required to be posted in PIMS+ by UNDP Vertical Fund Programme Associates and in the UNDP Evaluation Resource Centre (ERC) (<http://erc.undp.org>) by the relevant COs by the expected MTR due dates.

4. Terminal evaluation (TE) reports and the corresponding terminal GEF Core Indicators (GEF-6 projects) and GEF Tracking Tool (older projects):

- a. Please see Annex 2 for further information, including on the new GEF Core Indicators requirement.
- b. Note the new GEF Core Indicators requirement strictly applies to GEF-6 projects, which are no longer required to prepare GEF Tracking Tools (except for the METT) and must instead prepare the Core Indicators.
- c. TE reports and terminal GEF Core Indicators / Tracking Tools prepared in 2020 will be submitted to the GEF Secretariat on a rolling basis via the GEF Portal.
- d. TEs are required to be posted in PIMS+ by UNDP Vertical Fund PAs and in the UNDP Evaluation Resource Centre (ERC) (<http://erc.undp.org>) by the relevant COs by the expected TE due dates.
- e. TE reports posted in the ERC will be quality assessed by the UNDP Independent Evaluation Office (IEO) on a rolling basis throughout the year. The TE quality ratings will be shared with the GEF IEO. Note that only COs have access to post reports to their evaluation plans in the ERC.

B. Key dates of the 2020 GEF AMR process

- 1. Date to be set by Regional Team: 1st PIR draft due for regional team review.** The first draft of the PIR should be completed and sent to the UNDP Vertical Fund team in the region for review. By this

date, inputs should be provided by the Project Team, the GEF Operational Focal Point, the UNDP Country Office, and any other key national partners that would like to provide input to the PIR.

2. **Friday, 10 July 2020:** The **Country Office timesheets** must be completed in PIMS+. A previous training session on how to complete the CO timesheet in PIMS+ is available under this [Yammer post](#).
3. **Wednesday, 9 September 2020: Final PIR including key data and all other sections must be submitted by the RTA.** We no longer have separate deadlines for key data and final PIR submission (and there will be no possibility of a deadline extension!). The [GEF Monitoring Policy](#) approved in 2019 now specifies a fixed deadline, 75 days after the end of the fiscal year, for PIR submission, thus the entire PIR must be complete and submitted in the PIMS+ PIR by this date for onward transmission to the GEF SEC.
4. **Rolling basis:**
 - The required **midterm and terminal GEF Core Indicators (GEF-6 projects) or GEF Tracking Tools (older projects)** must be prepared by the project team and submitted by the UNDP Country Office to UNDP Vertical Fund RTAs on a rolling basis for quality review while the MTR/TE TOR is being drafted.
 - The 2020 **MTR reports** and **TE reports** - together with their corresponding GEF Core Indicators or GEF Tracking Tools that have been cleared by RTAs - must be posted in PIMS+ (i.e. the project's midterm review or terminal evaluation milestone must be updated in the PIMS+ timeline) by their expected or revised expected due dates for onward transmission to the GEF. MTR/TE reports and Core Indicators/Tracking Tools are submitted to the GEF Portal on a rolling basis.

C. COVID-19 Pandemic and the 2020 GEF AMR Process

1. **Reporting on covid-19 impacts in the 2020 GEF PIR:** There are several sections of the PIR where potential covid-19 related impacts should be reported:
 - **Overall Assessment:** In their Overall Assessment page, all PIR contributors should, along with the other analyses of project progress that must be included in the Overall Assessment, provide a description of any covid-19 pandemic related challenges, delays and impact. This could include any minor changes to the project, as well as any project activities, outputs or outcomes that achieve the results outlined in the Project Document and can assist in COVID-19 efforts, as discussed with the RTA and Country Office. The scope of changes, challenges and impact of the pandemic on projects is unique to each situation, thus there is no 'one-size-fits-all' approach to addressing covid-19 impacts and the specific situation for each project context must be informed by discussions that include the Country Office and Regional Team. **RTAs must ensure that any minor changes made to the project in light of the covid-19 pandemic are reported in their RTA Overall Assessment, this will be considered the official reporting to GEF Secretariat on minor changes.**
 - **Risk management:** in the 'Adjustments' page of the PIR, the Country Office is responsible for completing the Risk Management section in consultation with the RTA. Before updating the PIR, the Country Office must update project-level risks in the Atlas Risk Register (which replaced the Atlas Risk Log see [UNDP's enterprise risk management policy](#)), including any covid-19 related risks in line with [UNDP's guidance on Covid-19 risks](#), based on detailed

discussion with the RTA. Next, the Country Office must select in the PIR the ‘high’ risks identified in the Atlas Risk Register as well as any other ‘substantial’ risks from the Atlas Risk Register identified by the RTA as needing to be addressed in the PIR. (‘Moderate’ and ‘low’ risks do not need to be entered in the PIR Risk Management section). Whether or not Covid-19 related risks are identified as high or substantial and needing attention in the PIR depends on the specific project context and should be informed by discussion between the Country Office and RTA.

- **Delays in key milestones:** in the ‘Adjustments’ page of the PIR, the Project Manager, Country Office and RTA must provide comments on delays during reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If the delays in achieving these key milestones are related to the covid-19 pandemic then this should be explained.
- **Gender:** In the Gender page of the PIR, the Project Manager may report on covid-19 related impact in terms of progress on gender equality and women’s empowerment and achievement of the project’s gender-related results.
- **Stakeholder engagement:** In the Partnerships page of the PIR, the Project Manager should report any covid-19 related impact on stakeholder engagement.

2. **Conducting 2020 MTRs and TEs:** Ongoing MTRs/TEs should be completed virtually, where possible. Planned MTRs/TEs should proceed, as scheduled, if virtual means can be used. If not possible or desirable, these MTRs/TEs can be delayed based on agreement by the RTA and CO.

- The UNDP IEO has created a [Teams space for ‘Evaluation during COVID-19’](#) which is regularly updated with guidance and resources.

D. 2020 PIR: changes, tips and technical notes

PIR tab	Changes made since last year	Tips
PIR Guidance Page	Updated to reflect changes for 2020.	This page contains guidance and requirements for each GEF PIR contributor.
Basic data	No changes.	<ul style="list-style-type: none"> • As in past years, most of the information in the Basic Data is for reference and can only be updated via PIMS+. Updates made to PIMS+ will automatically be updated in the PIR. • The only editable fields in the Basic Data tab are the name and email entry fields in the Project Contacts table at the very bottom (Project Manager; UNDP Country Office; GEF Operational Focal Point; Project Implementing Partner; Other Partners). Please update that information if there have been changes since the last PIR. • Click ‘add new’ to insert the names of additional Project Managers/Coordinators, GEF Operational Focal Points and Other Partners (if applicable).

PIR tab	Changes made since last year	Tips
DO Progress	No changes.	<ul style="list-style-type: none"> • If the objective/outcomes and corresponding indicators from the project logframe/results framework are not accurate or complete, or were poorly transferred to the 2020 PIR, please email PIRtechsupport@undp.org. • Project outputs and output-level indicators should NOT be included in this tab. Only objective- and outcome-level indicators and results should be included. • The GEF Council does not allow substantive changes to the project objective or outcomes that may lead to a downgrading to the expected global environmental benefits without their prior approval. Do not make major changes to the objective or outcomes! • Minor revisions to the indicators are permitted but must be approved by the Project Board and the RTA before they are entered into the PIR. Consult the RBM team for additional tips and support if such changes are necessary.
DO Ratings	No changes.	<ul style="list-style-type: none"> • Comments on the DO Rating should be provided in the Overall Assessment section of the PIR, along with the IP Rating comments (as one cohesive narrative). • Comments on covid-19 related challenges, delays and impacts should be included in the Overall Assessment.
Adjustments	<p>No more Critical Risks, in line with changes made to UNDP's risk management system. Country Offices enter High risks per the UNDP Risk Register (and any substantial risks as agreed with RTA) along with risk management measures.</p>	<ul style="list-style-type: none"> • The Country Office is responsible for completing the Risk Management section of the PIR in consultation with the RTA. Before updating the PIR, the Country Office must update project-level risks in the Atlas Risk Register in line with UNDP's enterprise risk management policy and have a detailed discussion with the RTA on risk management. Next, the Country Office must select in the PIR Risk Management section the 'high' risks identified in the Atlas Risk Register as well as any other 'substantial' risks from the Atlas Risk Register agreed with the RTA as needing to be monitored and reported in the PIR. Moderate and Low risks do not need to be entered in the PIR Risk Management section. After selecting the risk, a text field will appear where the Country Office should describe the risk and explain actions undertaken this reporting period to address the risk selected. • Any covid-19 related risks should be updated in the Atlas Risk Register in line with UNDP's guidance on Covid-19 risks, based on detailed discussion with the RTA. Covid-related risks included in the Atlas Risk Register may or may not be 'high' or 'substantial' and thus may or may not warrant inclusion in the PIR risk management section. • The Project Manager, Country Office and RTA must provide comments on delays during the reporting period in achieving key project milestones. A link to the project's MTR management response is provided (if available). The Country Office must review the document and summarize the steps taken to comply with the MTR management response.
IP Ratings	RTAs are requested to review the project's portfolio-level risks identified in the PIMS+	<p>Please consider the following when selecting the IP Rating:</p> <ul style="list-style-type: none"> • Review the financial performance of the project displayed in the IP Ratings tab. Low delivery rate against the expected delivery as

PIR tab	Changes made since last year	Tips
	<p>risk dashboard to inform their IP rating and Overall Assessment. A link to the project’s risk dashboard is available in this section of the PIR.</p>	<p>per ProDoc (below 50%) indicates slow performance and slow progress against the ProDoc workplan. Projects with less than 35% delivery rate against the ProDoc budget are flagged and are considered a substantial portfolio-level risk and projects with less than 15% delivery rate against the ProDoc budget are considered a high portfolio-level risk. Such projects should not be considered in the satisfactory range for implementation progress.</p> <ul style="list-style-type: none"> • The RTA should review the project’s Finance/Delivery by Activities Module in PIMS+ and consider whether: <ul style="list-style-type: none"> ○ Budget reallocation threshold is exceeded ○ Project Management Costs are exceeded Such deviations are flagged in PIMS+ with red font. Further guidance for RTAs and PAs is available here. • RTAs must review the project’s PIMS+ portfolio-level risk dashboard (a link is provided within the IP Ratings page labelled “PIMS+ Risk Rating Dashboard”). If any implementation risks are flagged as substantial or high, for example delays with the MTR, the IP rating should not be in the satisfactory range. The risk rating identified in the PIMS+ portfolio risk dashboard will be used as the Overall Risk Rating reported to the GEF Secretariat. • Review Key Project Dates: the dates displayed here come from the project’s PIMS+ timeline and will be reported to the GEF Secretariat, they cannot be adjusted in the PIR. Any ‘expected’ dates in the past without a corresponding ‘actual’ date will be flagged, for example, if the original date of mid-term review has already passed and there is no ‘actual’ date of mid-term review. • Comments on the IP Rating should be provided in the Overall Assessment section of the PIR, along with the DO Rating comments as one cohesive narrative.
Gender	No changes.	<ul style="list-style-type: none"> • The Project Manager may report on covid-19 related impact in terms of progress on gender equality and women’s empowerment and achievement of the project’s gender-related results. • The progress reported in this tab should be used by the Country Office to revise and update the gender marker score in Atlas (displayed for reference). In general, projects in which gender has been taken into account adequately and has been mainstreamed in outputs and actions should be classified as GEN 2 or higher. • NOTE FOR REGIONAL PROGRAMME ASSOCIATE: If available, please upload the project’s Gender Analysis and Action Plan in the PIMS+ project library and select ‘Gender Analysis and Action Plan’ as the predefined document type. If the file is already in PIMS+, then please ensure that it is tagged as such. Once tagged in the project library the file hyperlink will automatically appear in the PIR Gender section. • The question on gender-based violence is for UNDP use only and will not be shared with GEF Secretariat.

PIR tab	Changes made since last year	Tips
Social and Environmental Standards (Safeguards)	No changes.	<ul style="list-style-type: none"> • The Project Manager and/or the project's Safeguards Officer should complete this section of the PIR with support from the UNDP Country Office. The RTA should review to ensure it is complete and accurate. • The four questions in this section ask if, during the reporting period: (1) new social and/or environmental risks arose; (2) any risks were escalated; (3) assessments and/or management plans were prepared; and (4) safeguards-related complaints arose. For all questions answered "yes", brief descriptions must be provided. • The design-stage SESP categorization (Low, Moderate or High) will appear at the top of the page. Please note that the SESP categorization might have been corrected during a centralized review; contact the Safeguards focal point with any questions. • Hyperlinks to the project's SESP and any management plans will be provided at the top of the page, if a SESP was prepared during project design; please download and open that file to see the originally identified social and environmental risks. That space will be empty for projects that did not prepare a SESP, but those projects should still complete this section. • See the information on UNDP's SES at the bottom of the page. • NOTE FOR REGIONAL PROGRAMME ASSOCIATE: For all 1st time PIR project, please ensure that their SESP are uploaded to PIMS+ and correctly tagged in the library. If available, please upload (and correctly tag) any management plan (e.g. ESMF) in the PIMS+ project library and select the appropriate predefined document type.
Communicating Impact	Questions on Project Location Data have been reformatted so that more precise location data can be gathered. Please enter data in the requested format.	<ul style="list-style-type: none"> • This information is used by the GEF and UNDP for reporting on development impacts and is therefore very important! All sections must be completed. • Under KM, Project Links and Social Media, please include a description of knowledge activities and products as outlined in knowledge management plan approved in the CEO Endorsement /Approval. GEF Secretariat will review the responses in this section closely. • The project and social media links shared in the 2019 PIR are displayed automatically in the 2020 PIR and should be updated as needed. • Please insert geo-referenced information for where the project interventions take place. Also upload files which display the intervention sight(s) in question as well as other relevant location information (e.g. shapefiles, Google Earth shapefiles, Geojson files etc.). Further guidance on how to gather georeferenced information is available here.
Partnerships	No changes.	<ul style="list-style-type: none"> • This information is used by the GEF and UNDP for reporting and is therefore very important! All sections must be completed. • The project's CEO Endorsement/Approval request, which contains the Stakeholder Engagement Plan, is provided as a reference. The Project Manager must provide an update on progress, challenges and outcomes related to stakeholder engagement based on the description of the Stakeholder

PIR tab	Changes made since last year	Tips
		<p>Engagement Plan as documented at CEO endorsement/approval. GEF Secretariat will review the responses in this section closely.</p> <ul style="list-style-type: none"> • The Project Manager should report any covid-19 related impact on stakeholder engagement in this section. • If any surveys have been conducted related to stakeholder engagement baseline validation/assessment, or related areas please upload all survey documents to the PIR file library.
<p>Overall Assessment</p>	<ul style="list-style-type: none"> • New instructions on including a risk management action plan to address portfolio risk indicators in the RTA Overall Assessment. • Once the 2020 GEF PIR process is complete, the RTA's Overall Assessment will be displayed in the project's PIMS+ risk management plan. 	<p>The Overall Assessment should include:</p> <ol style="list-style-type: none"> a) Full justification for the DO and IP rating based on full and complete progress reported. If the rating provided is not the same as previous years (if relevant), explain what changed and why. If progress is rated in the unsatisfactory range explain why and outline steps that will be taken to get the project back on track. Note that ratings in the unsatisfactory range are welcome when progress warrants an unsatisfactory rating. Do not avoid an unsatisfactory rating; provide a credible and realistic rating; b) Specify whether the previous year's annual workplan was fully implemented or not. If not, explain why not and what will be done to improve annual work plan implementation in the coming year; c) The RTA must include specific measures to manage the project's implementation performance and address the unresolved portfolio risks identified in the project's PIMS+ portfolio risk dashboard. Once the PIR is finalized, the RTA's Overall Assessment will be displayed in the project's PIMS+ portfolio risk management action plan and become its de facto risk management plan, thus the RTA's Overall Assessment must include risk management measures for all unresolved risks in the project's risk dashboard. d) Provide an assessment of current project-level risks identified in the Atlas Risk Register and the most important risk management measures to be taken in the coming year to address the high risks, as well as substantial risks from the Atlas Risk Register agreed with the RTA as needing to be monitored and reported in the PIR. This should include an update of measures undertaken to address social and environmental risks if relevant, and any new project-level risks identified over the past year. e) Covid-19 pandemic-related challenges, delays and impact should be addressed in the Overall Assessment along with the other information requested above. f) RTAs must ensure that any minor changes made to the project in light of the covid-19 pandemic are reported in their RTA Overall Assessment, this will be considered the official reporting to GEF Secretariat on minor changes. g) Many of the high quality rated RTA Overall Assessments have a clear structure/template to them that includes: a full explanation/justification for the DO and IP ratings; a discussion of each objective and outcome against end of

PIR tab	Changes made since last year	Tips
		<p>project targets; discussion, in detail, of relevant issues/challenges/successes related to risk management, implementation (delivery rate, PMU, etc), delays, co-financing, key partnerships, gender (as applicable); and a concluding sum up of overall progress and any final points. RTAs that consistently have high quality rated PIRs normally use this sort of template to write the Overall Assessment for each PIR in a Word file and then transfer to the online PIR.</p>
<p>Approve and Submit Page</p>	<p>Change to calculated Overall Risk Rating.</p>	<ul style="list-style-type: none"> • When you have completed your contribution to the PIR you must go to the Approve/Submit Page to finalize your contribution. <u>Only users that have submitted their name and email address in this section of the PIR and clicked ‘Submit’ or ‘Final Approve/Submit’ (RTA PIR users only) will receive an automated email with the final Word PIR report.</u> Users that have logged into and edited the PIR but have not provided their name and email address in this section and not clicked ‘Submit’ in the Approve/Submit Page will not receive the final Word PIR report. • The calculated overall DO and IP ratings appear in the ‘Approve and Submit Page’ for RTAs only. The RTA can change this overall rating if necessary and appropriate and must provide a justification in their Overall Assessment of why the overall rating was changed. • New Overall Risk Rating (viewable by RTAs): the Overall Risk Rating reported to the GEF Secretariat is no longer based on a calculation of the number of critical risks and the average overall DO and IP ratings. Instead, the Overall Risk Rating is taken from the project’s portfolio PIMS+ risk dashboard rating, i.e. High, Substantial, or Moderate depending on the risks identified in PIMS+; projects with no risks identified in PIMS+ have an Overall Risk Rating of Low. This system is in addition to (i.e. does not replace) individual project-level risk assessment governed by UNDP’s enterprise risk management system. Therefore, a project financed by the GEF, GCF or AF will have project specific risks recorded in ATLAS (typically by the Country Office), and additional portfolio-level risk indicators displayed in PIMS+ (calculated by the system) or manually recorded by the RTA. If the overall risk rating should be amended, please discuss with the PTA. Further information is available here.

Technical Notes	
Login	<ul style="list-style-type: none"> UNDP Vertical Fund RTAs and PAs must be assigned as the RTA or PA role in the project's PIMS+ Roles & Contacts section to access their PIRs as RTA/PA. For all users without a UNDP email, the PIR login works the same as past years – users must enter their name and email, then select their role in the PIR process.
PIR access via CO Dashboard	Country Office PIR users may access their PIRs via the CO Dashboard: https://co.undpgefpmis.org/site/dashboard . UNDP email address and password is required.
PIR Archives	PIR Archives: View past years PIR Word files via a the 'Archives' button in the top right corner of the online PIR. Click on 'Archives' to access links to any previous PIR Word files.
Mobile-friendly	You can access, edit and submit the PIR on your smart phone or tablet.
Tech support available	For technical support, questions or to report any issues please email PIRtechsupport@undp.org (email address is also accessible in all PIRs).

E. PIR Quality Assessment & High-Quality Examples

When the PIR process is complete, the UNDP Vertical Fund Unit contracts an external consultant to assess and rate the quality of each PIR against the following criteria: completeness; balance; consistency; substantiveness and reliability; and, clarity. The assessment rates the quality of the PIR monitoring report, it is not a rating of project performance or results! The PIR quality rating is used in the annual performance assessment of UNDP Vertical Fund RTAs, and this rating along with the project performance ratings included in the PIRs are used by the UNDP Vertical Fund annual management performance dashboard and risk dashboard. For more details on why we assess PIR quality, how the assessment is done, common quality issues across PIRs, and to review the quality criteria scale please see the [Guidance Note on the PIR Quality Assessment](#).

PIR Quality Ratings are viewable in PIMS+ within the 'PIR' milestone in the project timeline or via *Reports>PIR Quality Assessment* in PIMS+ and the CO Dashboard. Please see detailed guidance on [how to view PIR quality ratings in PIMS+ \(for RTA and PAs\)](#) and [how to view PIR quality ratings in the CO Dashboard](#) (for Country Offices and other PIR users with an active UNDP email).

It is strongly recommended to review some examples of high quality rated PIRs:

- [High quality PIR fully justifying HS DO Rating](#)
- [High quality PIR of project nearing closure](#)
- [High quality PIR of project with MS development progress](#)
- [High quality PIR of project with slow progress doing first PIR](#)
- [High quality PIR of project with unsatisfactory DO and IP](#)

F. PIR: main roles and responsibilities with Checklists by role

PIR Role:	Required to contribute to PIR?	Responsibilities:	Project Function:	Notes:
Project Manager/Coordinator	Yes; is required to contribute to PIR	Manages the day to day operations of the project and is closest the project results.	Project Execution	The Project's Chief Technical Adviser (CTA), Deputy Project Manager/Coordinator, Gender Officer or other members of the Project Team may log into the PIR under the 'Project Manager/Coordinator' role to provide their input to the PIR as needed.
UNDP Country Office Programme Officer	Yes; is required to contribute to PIR	Provides oversight and supervision support to the project.	Project Oversight	Not applicable for DIM and many regional projects.
GEF Operational Focal Point	Can contribute to the PIR if they wish, but this is not required.	Represents the government in the country and serves as the GEF OFF.	-	Not applicable for DIM and many regional projects.
Project Implementing Partner	Can contribute to the PIR if they wish, but this is not required.	Is the organization that signed the Project Document for the project.	Project Execution	Not applicable for DIM projects.
Other Partners	Can contribute to the PIR if they wish, but this is not required.	Represents other Agencies working with UNDP on project implementation.	-	For jointly implemented projects, the 'Other Partner' is a representative of the other Agency working with UNDP on project implementation (for example UNEP or the World Bank). This is not to be used when another Agency is the Implementing Partner (they would contribute as the Project Implementing Partner).

PIR Role:	Required to contribute to PIR?	Responsibilities:	Project Function:	Notes:
UNDP Programme Associate	Yes; is required to contribute to PIR	Serves as main contact point with UNDP Country Offices for PIR related questions.	Project Oversight	-
UNDP Technical Adviser	Yes; is required to contribute to PIR	Region-based technical adviser (RTA) accountable for the overall quality of the final PIR.	Project Oversight	-

PIR Task Checklists by Role

A. Project Manager: The Project Manager (this could also include the Project Coordinator, Chief Technical Adviser and other members of the Project Team) is closest to the project results and starts the PIR process.				
Specific tasks:				Done
1.	Ensure the project logframe indicators are monitored throughout the year. Update the DO Progress tab with latest monitoring data. For each objective/outcome, select whether it is on track/off track/achieved. Upload evidence to support progress reported.			
2.	Discuss the previous year's PIR quality rating with the UNDP Country Office to identify areas for improvement.			
3.	Complete every section of the PIR. Provide a DO rating and comments in the Overall Assessment to justify it. Submit to the UNDP Country Office for discussion and review. Finalize the PIR.			
4.	Discuss the final PIR with the Project Board and the UNDP Country Office.			
B. UNDP Country Office Programme Officer (CO): The Environment Focal Point (EFP) should work with the Project Team to ensure the PIR is fully completed.				
Specific tasks:				Done
1.	Discuss the previous year's PIR quality rating with the UNDP VERTICAL FUND Regional Team and the Project Manager to identify areas for improvement.			
2.	Complete Adjustments tab. Discuss risk management with the RTA and update the PIR with 'high' risks identified in the UNDP Atlas Risk Register as well as any other 'substantial' risks from the Risk Register identified by the RTA as needing to be addressed in the PIR. Provide an update on steps taken to comply with the MTR management plan (if applicable) and provide comments on delays to key project milestones.			
3.	Support the Project Manager to complete the Safeguards section of the PIR.			

4.	Provide DO and IP ratings, and comments in the Overall Assessment to justify the ratings.	
5.	Review all sections of the PIR for completeness, consistency, reliability and substantiveness, and clarity.	
6.	Submit PIR to the appropriate Programme Associate in the regional team for discussion and review. Finalize the PIR.	
7.	Discuss the final PIR with the Project Board and the Project Team.	
C. Programme Associates (PAs): The UNDP Vertical Fund Programme Associate (PAs) based in the regions support the COs in completing the PIR on time and undertake a quality review of the draft PIR. Global PAs undertake these PIR tasks for Global projects.		
Specific tasks:		Done
1.	<p>Ensure that the following data is correct in PIMS+ (it will be automatically updated/displayed in the PIR):</p> <ul style="list-style-type: none"> • Project Title; Project Description; RTA name (ensure that the lead RTA is not set as 'backup' RTA in the PIMS+ roles & contacts section); • PPG Amount; GEF Grant Amount; Co-financing (USD) at CEO endorsement; • PIF Approval Date; CEO Endorsement Date; Project Document Signature Date (project start date); • Date of Inception Workshop; • Expected Date of Mid-term Review; Actual Date of Mid-term Review; • Expected Date of Terminal Evaluation; • Original Planned Closing Date; Revised Planned Closing Date. Note: revised planned closing date will only be uploaded for projects that have formally been approved for a project extension in PIMS+ by the UNDP Vertical Fund Executive Coordinator. • Gender Analysis and Action Plan: if completed, ensured that the document is marked as 'Gender Analysis and Action Plan' under the predefined document type in the PIMS+ project library. • SESP and safeguards management plans: For all 1st time PIR project, please ensure that their SESP are uploaded to PIMS+ and correctly tagged in the library. If available, please upload (and correctly tag) any management plan (e.g. ESMF) in the PIMS+ project library and tag with the appropriate predefined document type. Once tagged in the project library the file hyperlink will automatically appear in the PIR Safeguards section. Note that older projects (i.e. that were developed before the SESP/ESSP requirement) will likely not have such a file, and that is expected. 	
2.	Review the previous year's PIR quality rating to inform the quality review of the 2020 PIR.	
3.	Follow up with the CO regularly to address any questions the CO or project team may have.	
4.	<p>Upon receiving the PIR from the CO review the PIR and:</p> <ul style="list-style-type: none"> ✓ Check that all sections of the PIR have been completed. ✓ Check that the text provided in each tab is legible, coherent, and does not repeat the previous PIR submission (and is in English). ✓ Check that the DO progress and Adjustments tabs have been updated and do not repeat the previous PIR submission. ✓ Check that the DO and IP ratings have been completed. In addition, the related comments should not repeat those submitted in the previous PIR, and must be relevant, substantive 	

	and outline next steps to be taken particularly when the DO and/or IP ratings are in the unsatisfactory range (i.e. HU/U/MU).	
5.	If requested to make changes to the Development Objective Progress tab, do so if these are minor changes to the indicators only. These changes must have been approved by the Project Board and the RTA and be documented in the Inception Workshop Report or the MTR. If you have any questions about making changes to this tab, please contact the RBM Team.	
6.	Review all sections of the PIR for completeness, consistency, reliability and substantiveness, and clarity.	
7.	Work with the CO and RTA to finalize the PIR.	
8.	Once PIR process is complete, follow up with the CO to confirm they have received the PIR Word report. Confirm that all PIR data including the Word report has been transferred to PIMS+.	
D. Regional Technical Advisers (RTAs): RTAs are accountable to the PTA for the quality of the PIR.		
Specific tasks:		Done
1.	Communicate with COs/project teams on the PIR process and quality expectations during inception phase/workshops, supervision missions and regular communications.	
2.	Review the previous year's PIR quality rating.	
3.	Supervise PA on the coordination of the PIR process and the timely submission of the PIR.	
4.	Prepare DO and IP ratings, and comments for the Overall Assessment	
5.	Undertake final quality review of the PIR.	
6.	Submit/approve final PIR by 9 September 2020 .	
7.	Discuss quality ratings of portfolio of PIRs with PTA and PA.	

G. How are these project reports used?

1. Data and PIR Word Report uploaded to GEF Portal: the following data points are extracted from each PIR and loaded into the GEF Portal along with the final PIR Word report file:
 - o Cumulative GEF grant amount disbursed as of 30 June;
 - o Overall ratings (development objective progress; implementation progress; risk);
 - o Expected date of mid-term evaluation;
 - o Actual date of mid-term evaluation (if applicable);
 - o Expected completion data;
 - o Expected financial closure date;
 - o Actual terminal evaluation date (if applicable);
 - o RTA Overall Assessment;
 - o Information on progress, challenges and outcomes on stakeholder engagement (from PIR Partnerships page);
 - o Information on Gender Response Measures (from PIR Gender page);
 - o Knowledge activities/products (from PIR Communicating Impact page);

- Final PIR Word Report.

These data are used by the GEF Secretariat to prepare the Corporate Scorecard for the Council Meeting and an Annual Portfolio Monitoring and Results Report (APMR) for the December 2020 GEF Council Meeting. When a project does not submit its PIR on time it is listed as 'non-compliant' in the APMR.

- The 2019 GEF Corporate Scorecard can be found [here](#).
- The 2019 GEF Annual Portfolio Monitoring Report can be found [here](#).

2. Final 2020 PIR Data and Report Used by UNDP:

- a. All PIRs are sent by the UNDP Vertical Fund Directorate to an external consultant for quality review. Report quality assessments from 2015 onward are available in [PIMS+](#) (for RTAs and PAs) and in the [CO Dashboard](#).
- b. PIRs are used by the UNDP Vertical Fund Directorate to identify risks and slow performing projects that may need additional implementation support.
- c. PIR data is searchable in [PIMS+](#) and used for various results analyses and to prepare a wide range of internal and external communications and learning material.

3. 2020 Country Office timesheet: The timesheets are used to prepare the UNDP Administrative Expenses report, included as an Annex to the 2020 APMR Report that will be presented to the GEF Council in December 2020.

4. MTRs and mid-term/terminal GEF Core Indicators/ Tracking Tools: The MTRs and mid-term/terminal GEF Tracking Tools and Core Indicators are sent to the GEF Secretariat and are used to prepare the GEF's 2020 Corporate Scorecard and APMR. UNDP uses the TT/Core Indicator data to produce several internal and external knowledge and communications products.

5. TEs: The TE reports are sent to the UNDP Independent Evaluation Office (IEO) for quality review and validation of the reports' project performance criteria ratings. The GEF IEO uses the TE reports, TE quality ratings and validated project performance ratings to prepare the GEF Annual Performance Report; the next GEF APR will be presented to the GEF Council in June 2020.

- ✓ The GEF IEO's Annual Performance Report 2020 Report can be found [here](#).

H. Contact information for 2020 AMR Support

Contact	UNDP VERTICAL FUND Team	Areas of Focus	Coordinates
Margarita Arguelles	RBM Team (New York)	Mid-term Reviews, Terminal Evaluations, Tracking Tools Global Projects	Margarita.Arguelles@undp.org
Ciara Daniels	RBM Team (New York)	General Support Gender	Ciara.Daniels@undp.org
Jessie Mee	RBM Team (Bangkok)	Safeguards GEF Core Indicators	Jessie.Mee@undp.org
Estefania Samper	RBM Team (New York)	GEF Core Indicators Geo-spatial Data Enabling Activities data	Estefania.Samper@undp.org
Gabriella Toth	Finance (Istanbul)	CO timesheets PIMS+ CO Dashboard	Gabriella.toth@undp.org

Annex 1: Overview of MTR, TE and GEF Core Indicators/Tracking Tool requirements

REQUIREMENT	DETAILS	WHAT	WHEN
<p>*New in 2020 GEF Core Indicators</p>	<p>This is a new requirement for GEF-6 projects. The GEF Core Indicators, released in July 2018, have replaced the GEF Tracking Tools for all GEF-6 full-sized (FSPs) and medium-sized projects (MSPs). If a GEF-6 project prepared GEF Tracking Tools for CEO Endorsement, then that project is expected to prepare the GEF Core Indicators instead of the old GEF TTs. This requirement applies to GEF, LDCF/SCCF and all other GEF family funds.</p> <p>However, all GEF-6 projects required to prepare METTs (protected area tracking tool) must continue preparing the METTs (at midterm and terminal stages), in addition to the GEF Core Indicators. The METT scores must be entered into the Core Indicators file.</p> <p>As with the TTs, the Core Indicators must be prepared at midterm (for FSPs) and at closing (for MSPs and FSPs). All GEF-6 projects must transition to GEF Core Indicators at the next opportunity, i.e. with the Midterm Review or with the Terminal Evaluation (whichever comes first, after 1 July 2018).</p> <p>As with the Tracking Tools, MSPs are not required to prepare midterm GEF Core Indicators. Also, EAs are <u>not</u> required to complete GEF Core Indicators at any stage.</p> <p>The project manager is responsible for completing the GEF Core Indicators file.</p>	<p>The GEF Core Indicators can be prepared in UNDP's offline template (available upon request) or in the GEF's Core Indicators worksheet. The GEF's worksheet for LDCF/SCCF Core Indicators is under revision, and a draft version is available upon request (to the Core Indicators focal points).</p> <p>The supplemental METTs, if required, should be prepared in the GEF-7 Excel template.</p>	<p>The GEF Core Indicators must be prepared by the project team and submitted by the UNDP Country Office to the UNDP Vertical Fund RTA on a rolling basis for quality review while the MTR/TE TOR is being drafted. (i.e. approximately one to two months before the MTR/TE mission).</p> <p>The GEF Core Indicators is a key project information document. The finalized GEF Core Indicators template must be provided to the independent MTR/TE team before the review/evaluation mission and entered into PIMS+ by the UNDP Vertical Fund PA. The RBM team will submit the Core Indicators together with the associated MTR/TE reports to the GEF Portal (further details to be announced).</p>
<p>GEF tracking tools (TT)</p>	<p>This is no longer a requirement for GEF-6 projects, which must prepare GEF Core Indicators (see row above). All projects approved before GEF-6 (i.e. prior to 1 July 2014) are encouraged to prepare GEF Core Indicators.</p> <p>GEF Tracking Tools are still applicable for GEF-5 and older projects. All full-sized projects (FSPs) must complete the relevant GEF Tracking Tool three times during their life²: CEO endorsement; at mid-term before the mid-term review mission; and at closing before the terminal evaluation mission.</p>	<p>Excel templates prepared by GEF available at: https://www.thegef.org/documents/tracking_tools</p> <p>The structure of these templates cannot and should not be altered for any reason, unless explicitly allowed (e.g. in the TT guidance or instructions).</p>	<p>The TTs must be prepared by the project team and submitted by the UNDP Country Office to the UNDP Vertical Fund RTA on a rolling basis for quality review while the MTR/TE TOR is being drafted. (i.e. approximately one to two months before the MTR/TE mission).</p> <p>The GEF TT is a key project information document. The final TT must be provided to the independent MTR/TE team before the review/evaluation mission and posted</p>

² For the following GEF focal areas, only those projects approved in GEF-5 or later are required to complete the GEF focal area tracking tool: Land degradation, Climate Change Adaptation

Annex 1: Overview of MTR, TE and GEF Core Indicators/Tracking Tool requirements

REQUIREMENT	DETAILS	WHAT	WHEN
	<p>All medium sized projects (MSPs) must complete the relevant GEF Tracking Tool two times during their life: CEO endorsement; and at closing before the terminal evaluation mission. Therefore, mid-term TTs are not required for MSPs. EAs are <u>not</u> required to complete GEF TTs at any stage. The project manager is responsible for completing the GEF Tracking Tool. (i.e. <u>not</u> the UNDP Country Office or the UNDP VERTICAL FUND RTA)</p> <p>When a project is implemented by more than one GEF Agency, only the GEF Agency with the largest portion of the GEF grant should submit a GEF TT on behalf of the entire project. Other cooperating GEF Agencies are expected to provide the reporting GEF Agency with relevant input.</p> <p>Multiple Focal Area projects are required to complete some elements of a number of different GEF focal area tracking tools. The procedures outlined here apply to MFA projects as well.</p>		<p>in PIMS+ by the UNDP VERTICAL FUND PAs. The RBM team will submit the TTs together with the associated MTR/TE reports to the GEF Portal.</p>
Mid Term Review (MTR)	<p>All full-sized projects must undertake a mid-term review and prepare a mid-term review report and management response. Medium sized projects can undertake a mid-term review at the discretion of the RTA. The RTA should consider:</p> <ul style="list-style-type: none"> ➤ Project duration: Medium sized projects with a planned duration greater than 3 years should do a MTR. ➤ Project complexity: Medium sized projects that are implemented in remote areas or in countries with weak governance systems or with complex project designs should do a MTR. ➤ The RTA should include the requirement to undertake a MTR for a medium sized project in the project document before it is sent for CEO endorsement. ➤ If the MTR is not required in the project document, the Project Board can still decide to undertake (and allocate budget) for a MTR. <p>Expedited EA projects with a budget under USD 500,000 do not need to undertake a MTR.</p>	<p>MTR report and corresponding management response.</p> <p>If a medium sized project prepares an MTR, then it should also submit the midterm GEF Core Indicators /Tracking Tool at that same time.</p>	<p>In most cases, the MTR should be submitted to the GEF in the same year as the 3rd PIR. Full sized projects that have prepared more than 3 PIRs and have not yet undertaken their MTR should initiate the process immediately. FSPs with shorter durations may need to carry out an MTR before the 3rd PIR.</p> <p>Full-sized projects must prepare the midterm GEF Core Indicator (GEF-6 projects only) or GEF Tracking Tool before the TOR for the MTR is advertised.</p> <p>The MTR TOR, final MTR report and management response must be uploaded to the ERC by the UNDP CO and posted in PIMS+ by the UNDP Programme Associate.</p>

Annex 1: Overview of MTR, TE and GEF Core Indicators/Tracking Tool requirements

REQUIREMENT	DETAILS	WHAT	WHEN
Terminal Evaluation (TE)	<p>All full-sized and medium-sized projects must undertake a terminal evaluation and prepare a terminal evaluation report and management response.</p> <p>Expedited EA projects with a budget under USD 500,000 do not need to undertake a TE.</p>	TE report and corresponding management response.	<p>TEs should be undertaken during the period six months before operational closure. No significant project activities should take place after the TE is completed.</p> <p>Full-sized projects and medium size projects must also complete the terminal GEF Core Indicators or GEF Tracking Tool, if relevant, before the TOR for the TE is advertised.</p> <p>The TE TOR, final TE report and management response must be uploaded to the ERC by the UNDP CO and posted in PIMS+ by the UNDP Programme Associate.</p>
Management Responses	<p>Note that a management response to the MTR and TE is mandatory as noted in the UNDP VERTICAL FUND MTR Guidance Document and the UNDP VERTICAL FUND TE Guidance Document.</p> <p>The MTR/TE process is not considered complete until the management response, TOR and the MTR/TE report have been posted to the ERC.</p>	Management response template provided in the UNDP Vertical Fund MTR Guidance Document and the UNDP Vertical Fund TE Guidance Document.	<p>Posted in the ERC by the CO within 6 weeks of the completion of the MTR report and TE report.</p> <p>The MTR and TE management response must be uploaded to the ERC by the UNDP CO and posted in PIMS+ by the UNDP Programme Associate.</p>