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# TERMINAL EVALUATION REPORT “MEXICO FIFTH NATIONAL COMMUNICATION ON CLIMATE CHANGE TO THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE”

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## List of Acronyms

CCA-UNAM	UNAM Center for Atmospheric Science
CCMSS	Mexican Civil Council for Sustainable Forestry
CFE	Federal Electricity Commission
CICC	Inter-ministerial Commission on Climate Change <sup>[1]</sup> <sub>SEP</sub>
CICESE	Center for Scientific Research and Higher Education in Ensenada
CO	Country Office
COLPOS	Colegio de Postgraduados
CONABIO	National Commission for the Knowledge and Use of biodiversity
CONAFOR	National Forestry Commission <sup>[1]</sup> <sub>SEP</sub>
DOF	Official Gazette
ECOSUR	Colegio de la Frontera Sur
FNC	Fifth National Communication to the United Nations Framework Convention on Climate Change
GEF	Global Environment Facility <sup>[1]</sup> <sub>SEP</sub>
GIZ	German Agency for International Cooperation
IMP	Mexican Petroleum Institute
IMTA	Mexican Institute of Water Technology
INECC	National Institute of Ecology <sup>[1]</sup> <sub>SEP</sub> and Climate Change
IPCC <sup>[1]</sup> <sub>SEP</sub>	Intergovernmental Panel on Climate change
NC	National Communication
NGOs <sup>[1]</sup> <sub>SEP</sub>	Non-governmental Organizations
PEMEX <sup>[1]</sup> <sub>SEP</sub>	Petróleos Mexicanos
SAGARPA	Ministry of Agriculture, Livestock, Rural Development, Fisheries and Food
SECTUR	Ministry of Tourism
SEDESOL	Ministry of Social Development

SEMARNAT	Ministry of the Environment and Natural Resources
SENER	Ministry of Energy
SMN	National Meteorological Service
SRE	Ministry of Foreign Affairs
UNAM	National Autonomous University of Mexico
UNDP	United Nations Development Programme
WWF	World Wide Fund for Nature

## Executive Summary

The United Nations Development Programme (UNDP) through the Global Environmental Facility (GEF) assisted Mexico to prepare its Fifth National Communication (FNC) and carry out all the necessary activities to comply with its commitments to the United Nations Framework Convention on Climate Change (UNFCCC), in agreement with Articles 4.1 and 12.1 of the Convention. The main goal of the project was to enable the Government of Mexico to design public policies and measures for mitigation and adaptation to address climate change, through the strengthening of technical capacity and institutions, and the evaluation of the environmental, social and economic impacts for their implementation (UNDP, 2011b). The FNC considered the following outcomes:

1. To update the Mexican greenhouse gas (GHG) inventory for the period 1990-2009, which included the implementation of an inventory's information system, as defined by the UNFCCC for Annex I countries.
2. To identify potential adaptation measures and options that could be implemented for relevant sectors in Mexico, and to develop regional climate change scenarios with a higher spatial resolution using dynamic downscaling to reduce uncertainties in vulnerability and adaptation assessments.
3. To identify and report present and future potential mitigation policies and measures for key sectors.
4. To update the descriptions of national circumstances, which included a report on the priorities, the objectives and the development implications to address climate change. The project intended to continue building institutional capacity, including undertaking activities related to research, education and awareness.
5. To publish and disseminate the FNC.

This document presents the terminal evaluation (TE) of the FNC, conducted by an independent consultant according to the guidance, rules and procedures for evaluations stated in the UNDP (2012b) *Project-Level Evaluation: Guidance for Conducting Terminal Evaluations of UNDP Supported, GEF-Financed Projects*.

The FNC was developed while a new legal and institutional arrangement for climate change policy was emerging in Mexico. The Mexican Government has established a multi-sectoral institutional environment to address climate change and to create periodical National Communications (NC), and climate change strategies and programs at the national and subnational levels. In 2005, the government established an Inter-ministerial Climate Change Commission (CICC, Spanish acronym). In 2012, the Mexican Congress passed a General Law on Climate Change, which provides a regulatory framework to co-ordinate climate change activities in Mexico (INECC, 2013a; Mullan *et al.*, 2013). Therefore, this evaluation provides some discussion and recommendations on how NC in Mexico need to take into account these legal and institutional arrangements.

This TE is organized as follows: Section 2 examines the TE framework, and it presents the methodology and the project design. Section 3 examines the main findings. Section 4 provides

recommendations. Finally, Section 5 presents the conclusions of the TE.

This TE used multiple methods to triangulate data and validate information for the elaboration of this evaluation. The methods used are (a) a desk review, (b) map of stakeholders, (c) semi-structured interviews, (d) codification of narratives and (e) meetings and presentations with key stakeholders. The following Table provides a summary of the main findings, including the overall rating for each of the criteria review in this TE.

Evaluation Criteria	Rating	Key Findings
<b>Design</b> Extent to which the project design considered issues of timing, stakeholder participation and national capacities to implement the project.	<b>Moderately Satisfactory</b>	<ul style="list-style-type: none"> <li>The project was influenced by the change in administration at the federal level.</li> <li>The FNC had to be finished in only 17 months.</li> <li>Key actors were involved in the elaboration of the ProDoc.</li> <li>The scope of the FNC was not realistic in relation with the actual time for implementation.</li> </ul>
<b>Results</b> Extent to which the project has accomplished the planned outcomes and outputs and their quality.	<b>Satisfactory</b>	<ul style="list-style-type: none"> <li>27 out of 28 outputs were completed.</li> <li>The document for the general public was published but it has not been made public.</li> <li>Some studies were not incorporated in the FNC</li> <li>Time constraints affected the quality of some studies.</li> </ul>
<b>Effectiveness</b> Extent to which the implementation of the project has been performed in an effective way considering issues of timing, stakeholder participation, and the process of monitoring and evaluation.	<b>Moderately Satisfactory</b>	<ul style="list-style-type: none"> <li>A slow initial process and delays lead to time constraints resulting in extreme workload for staff.</li> <li>There were insufficient human resources to attend all the demands of the project.</li> <li>There were delays in the procurement process.</li> <li>Complex scientific studies were elaborated with unrealistic working calendars affecting quality of Studies.</li> <li>There was a significant increase in stakeholder participation, including key actors at the subnational levels.</li> <li>The CICC facilitated the coordination and collaboration between government agencies.</li> <li>There is little evidence and documentation of the monitoring and evaluation process implemented by INECC during the project cycle.</li> </ul>
<b>Efficiency</b> Extent to which results have been delivered with the least costly resources (cost-efficiency).	<b>Satisfactory</b>	<ul style="list-style-type: none"> <li>GEF-UNDP financial resources were managed efficiently and in accordance to <i>The Project Document</i> and UNDP guidelines.</li> <li>In kind contribution to the project by the Mexican Government lacks of a monitoring and reporting process.</li> </ul>
<b>Relevance</b> Extent to which the project helps to develop national policies, supports sustainable development in the country, and the impact of the project in relation to capacity building.	<b>Satisfactory</b>	<ul style="list-style-type: none"> <li>The FNC has an impact in the decision-making process by increasing the awareness on climate change.</li> <li>Change in federal government administration reduced the impact of the FNC at a national level.</li> <li>The size of the FNC document is too large.</li> <li>The FNC has a high impact in the presence of Mexico at the international level.</li> </ul>
<b>Sustainability</b> Extent to which the benefits of the project can be sustained after completion.	<b>Satisfactory</b>	<ul style="list-style-type: none"> <li>Legal and institutional arrangements support the sustainability of climate change actions.</li> <li>There is a limited enhancement of capacity building at institutional level due to staff turn over.</li> </ul>

This TE has some key recommendations for the development of future NCs.

The scope of the outputs and associated studies in the NC should consider: (a) time constraints in the implementation phase, (b) the financial resources available, and (c) the complexity of the scientific investigation. It is not recommendable to initiate a complex scientific study with limited time available, since this will lead to unrealistic working calendars and diminished quality of the outputs.

INECC's monitoring and reporting system of activities related to future NCs must improve to enable a more complete, consistent, transparent and accurate verification of the implementation of the project. It is recommended to link the monitoring and reporting to the SIAT-PECC. The monitoring and reporting system should also include a financial report associated to the contribution in kind in order to enhance transparency and accountability.

The creation of the National Climate Change System, the National Safeguards System for REDD, the National Registry for REED and the National Registry for Emissions should take into account in their design the needs of data and information of NC. These climate policy instruments should enhance and facilitate the flow of information in future NC.

Future NC should integrate better local inputs and knowledge. For example, NC could enhance the participation of NGOs and institutions that work on climate change at a local level in order to understand better best practices and barriers at the local level.

Executive summaries for each chapter could enhance the impact and increase the audience of future NCs and also facilitate the work for the main executive summary of future NCs. Sectoral executive summary for policy-makers should be developed to enhance public policy impact of future NC. In particular, if the NC tackles specific sectors in-depth.

Finally, the publication of NC should not coincide with administrative federal electoral cycles and changes in administration since this reduces the impact of the NC in public policy.



## 1. Introduction

The United Nations Development Programme (UNDP) through the Global Environmental Facility (GEF) assisted Mexico to prepare its Fifth National Communication (FNC) to the United Nations Framework Convention on Climate Change (UNFCCC). The project was signed the 18<sup>th</sup> of August 2011 and the FNC was concluded before the 31<sup>st</sup> of December 2012. All full and medium – sized UNDP/GEF financed projects are required to undergo a terminal evaluation (TE) upon completion of implementation.

This document presents the initial draft of the TE which is conducted by an independent consultant according to the guidance, rules and procedures for evaluations stated in the UNDP (2012b) *Project-Level Evaluation: Guidance for Conducting Terminal Evaluations of UNDP Supported, GEF-Financed Projects*.

The main objective of this TE is to analyze the project cycle and review its achievements. It has the purpose to assess the project (a) design, (b) results, (c) effectiveness, (d) efficiency, (e) relevance and (f) sustainability (see Table 2 for the description of these criteria). It has also the goal to identify the constraints hindering the successful implementation of the project and the key lessons learned throughout the project cycle and make recommendations that might improve the implementation of similar UNDP/GEF projects.

The main goal of the project was stated in the *Project Document for the Fifth National Communication to the UNFCCC* (UNDP, 2011b) as follows:

*...To enable the Government of Mexico to design public policies and measures for mitigation and adaptation to address climate change, through the strengthening of technical capacity and institutions, and the evaluation of the environmental, social and economic impacts for their implementation. The project objective is to assist the Government of Mexico to carry out all the necessary activities to prepare the Fifth National Communication to comply with its commitments to the UNFCCC, in agreement with Convention's Articles 4.1 and 12.1.*

Moreover, the main outcomes established in the FNC were the following:

6. To update the Mexican greenhouse gas (GHG) inventory for the period 1990-2009, which included the implementation of an inventory's information system, as defined by the UNFCCC for Annex I countries.

7. To identify potential adaptation measures and options that could be implemented for relevant sectors in Mexico, and to develop regional climate change scenarios with a higher spatial resolution using dynamic downscaling to reduce uncertainties in vulnerability and adaptation assessments.
8. To identify and report present and future potential mitigation policies and measures for key sectors.
9. To update the descriptions of national circumstances, which included a report on the priorities, the objectives and the development implications to address climate change. The project intended to continue building institutional capacity, including undertaking activities related to research, education and awareness.
10. To publish and disseminate the FNC.

Table 1 presents the temporal period associated with the implementation of the project.

**Table 1: Dates of the project**

<b>Key project milestone</b>	<b>Expected date</b>	<b>Actual date</b>
Project Start Date	July 2011	August 2011
End Date	December 2012	2012-2013
Closing Date	October 2014	January 2015
Midterm Review	Not required	
Terminal Evaluation	November 2013	January 2015

Source: UNDP, 2011b, UNDP-GEF, 2014.

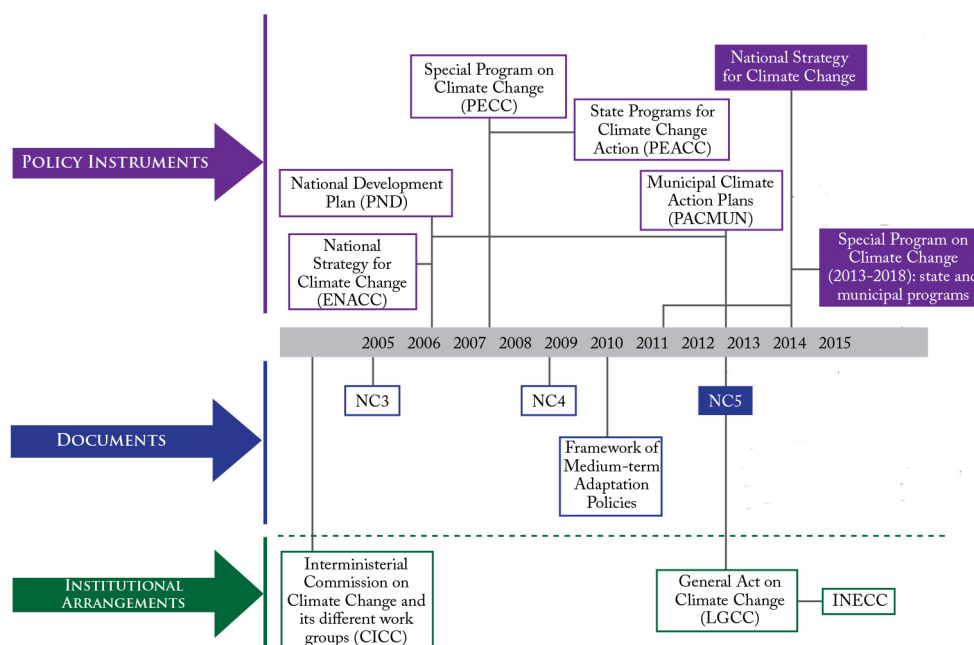
The most important delay is associated with the development of this TE, which was originally planned for November 2013 but was only completed in January 2015. This TE was delayed due to three main reasons. First, there were significant changes in the structure of INECC, the implementing partner, due to the publication of the General Law on Climate Change (DOF, 2012), which for INECC resulted in a broader mandate, increasing responsibilities and the adjustment of its staff. Second, in Mexico there was a change of administration at the federal government level. Third, there were also changes at UNDP Country Office staff, contributing to this delay (UNDP-GEF, 2014).

### **National Climate Change Policy Context**

Mexico has increased its policy response to climate change in recent years. The Mexican Government has established a multi-sectoral institutional environment to address climate change and to create periodical National Communications (NC), and climate change strategies and programs at the national and subnational levels. In 2005, the government established an Inter-ministerial Climate Change Commission (CICC, Spanish acronym). In 2012, the Mexican Congress passed a General Law on

Climate Change, which provides a regulatory framework to co-ordinate climate change activities in Mexico (INECC, 2013a; Mullan *et al.*, 2013). Figure 1 presents the evolution of national climate change policies, its key documents and institutional arrangements.

**Figure 1: Evolution of climate change response in Mexico**



Source: adapted from INECC, 2012a.

As Figure 1 shows, in Mexico the FNC was developed while a new legal and institutional arrangement for climate change policy was emerging. Therefore, this evaluation also provides some discussion and recommendations on how future NC in Mexico will need to take into account these legal and institutional arrangements.

This TE is organized as follows: Section 2 examines this TE framework. First, it presents the methodology that uses multiple methods to triangulate data from different sources to validate the information, and it presents the project design. Section 3 examines the findings of the TE in terms of the project results, effectiveness, efficiency, relevance and sustainability. Section 4 provides recommendations. Section 5 presents the conclusions of the TE.

## 2. Terminal evaluation framework

This section presents the methodology and the project design taking into consideration UNDP (2012b) guidance but also the specific needs discussed in an inception meeting and meeting to review the initial draft with the UNDP Country office team and the National Institute of Ecology and Climate Change (INECC) staff.

### 2.2 Methodology

This terminal evaluation used multiple methods to triangulate data and validate information for the elaboration of this evaluation. The methods used are (a) a desk review, (b) map of stakeholders, (c) semi-structured interviews, (d) codification of narratives and (e) meetings and presentations with key stakeholders.

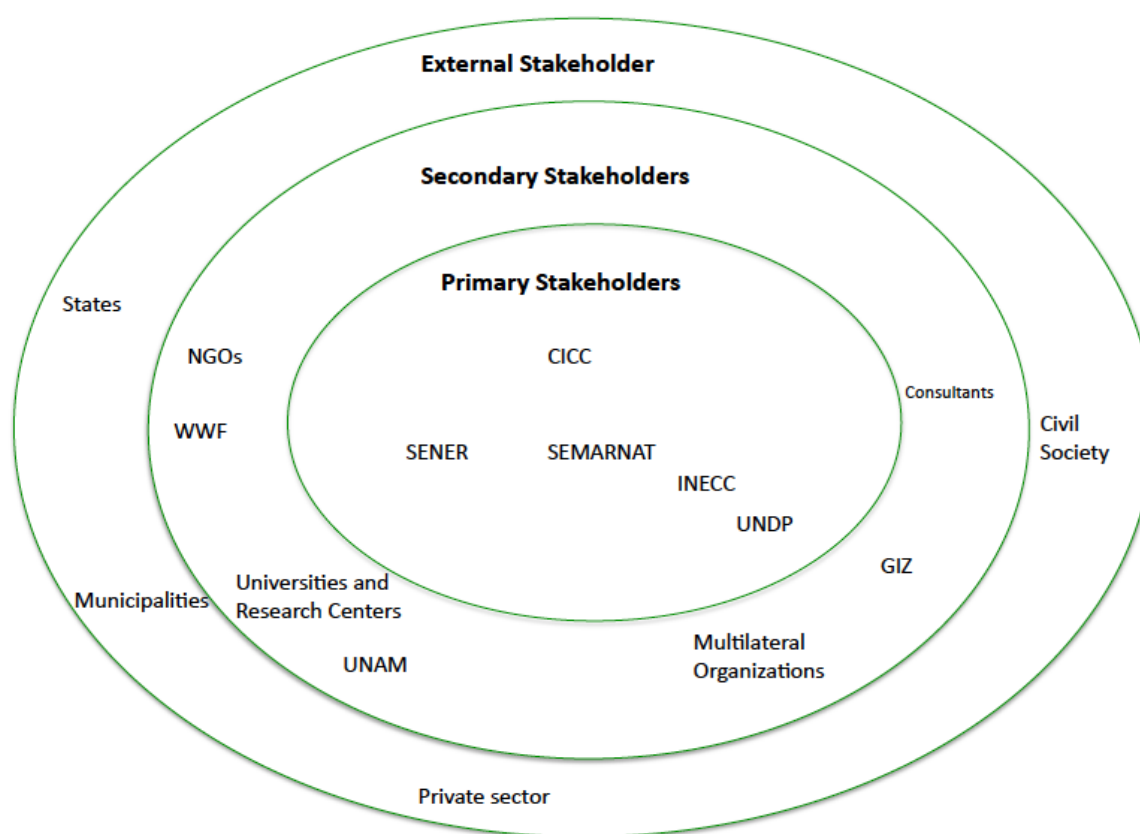
*Desk review:* This evaluation considered all internal reports and government documents that were provided by the UNDP Country office team and INECC staff at an initial stage of the TE process. This included some key documents such as: *The Project Document* (UNDP, 2011b), *The Project Implementation Report* (UNDP-GEF, 2014), *The Fifth National Communication of Mexico to the UNFCCC* (INECC-SEMARNAT, 2012) and the financial records of UNDP for the project (UNDP, 2011a/2012a/2013). There are other important sources that were also reviewed. All the documents consulted are listed in the reference section.

*Map of stakeholders:* This terminal evaluation categorized stakeholders as primary stakeholders, secondary stakeholders, and external stakeholders (Brugha and Varnasovszky, 2000).

1. Primary stakeholders: are those organizations acting as project leaders or those organizations that provided key financial or human resources or that provided critical information for the development of the FNC.
2. Secondary stakeholders: are those organizations or persons that provided key inputs (for example, authors of studies) for a component of the FNC.
3. External stakeholders: are those actors that participated in a specific phase of the FNC development process or which could be impacted by the project results.

Figure 2 illustrates the key stakeholders identified in this terminal evaluation.

**Figure 2: Map of key stakeholders of the Fifth National Communication**



Primary stakeholders are members of the CICC. Nevertheless, some members of the CICC such as the INECC, the Ministry of Environment (Secretaría de Medio Ambiente y Recursos Naturales/ SEMARNAT) and the Ministry of Energy (Secretaría de Energía/ SENER) played a key role in the development of the FNC. UNDP also played a central role by co-financing the project and in the management of the project. Secondary stakeholders are the National Autonomous University of Mexico (Universidad Autónoma de México / UNAM), international organizations such as the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ, for its acronym in German) and non-governmental organizations (NGO) like the World Wide Fund for Nature (WWF) that played an important role for the development of studies in the FNC.

*Semi-structured interviews:* This terminal evaluation conducted 22<sup>1</sup> semi-structured interviews with key beneficiaries and stakeholders including representatives of key institutions of the federal government, members of the scientific community, NGOs and the independent consultant responsible for the elaboration of *The Project Document* (UNDP, 2011b). The interviews were conducted with members of the following institutions: INECC, the Ministry of Foreign Affairs (Secretaría de Relaciones Exteriores/ SRE), the Ministry of Tourism (Secretaría de Turismo/ SECTUR), the Ministry of Social Development (Secretaría de Desarrollo Social/ SEDESOL), the Ministry of Agriculture, Livestock, Rural Development, Fisheries and Food (Secretaría de Agricultura, Ganadería, Desarrollo Rural, Pesca y Alimentación/ SAGARPA), the National Forestry Commission (Comisión Nacional Forestal/ CONAFOR), the National Commission for the Knowledge and Use of Biodiversity (Comisión Nacional para el Conocimiento y Uso de la Biodiversidad/ CONABIO), the Federal Electricity Commission (Comisión Federal de Electricidad/ CFE), Petróleos Mexicanos (PEMEX), the Mexican Petroleum Institute (Instituto Mexicano del Petróleo/ IMP), UNDP, WWF, the Mexican Civil Council for Sustainable Forestry (Consejo Civil Mexicano de Silvicultura Sostenible/ CCMSS), Colegio de Posgraduados (COLPOS), and El Colegio de la Frontera Sur (ECOSUR). The UNDP Country office team and INECC staff helped to identify all the interviewees and the INECC sent an e-mail presenting the objectives of the project. Annex I provides a list of the interviewees, their institutions and the date of the interview.

The interviews covered questions based mainly on the five major evaluation criteria: project results, effectiveness, efficiency, relevance and sustainability. For example questions such as: Where the objectives and goals of the project achieved? What barriers do you identified for the administrative process, the creation of products and the participation of stakeholders? How has the FNC impacted public policy? Note that an initial list of questions was sent on the 21<sup>st</sup> of November 2014 to the UNDP Country office team and INECC staff for their revision and feedback. Based on their feedback and the input of the initial interviews a final list of questions was produced (see Annex II: List of questions for the interviews).

*Codification of narratives:* All the interviews were recorded. The criteria to evaluate the FNC and the list of questions asked to the interviewees were used to codify and analyze the interviews.

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<sup>1</sup> The 22 semi-structured interviews were conducted from the 17<sup>th</sup> of November 2014 to the 16<sup>th</sup> of January 2015.

**Meetings and presentations:** Three meetings were conducted with the UNDP Country office team and INECC staff (see Annex III: Meetings).

1. The first meeting involved a discussion on the objectives and work plan of the project.
2. The second meeting discussed the results of a draft version of this TE and the consulting team collected the feedback from INECC and UNDP staff. The meeting also planned those key themes to be included in the final presentation of the evaluation report.
3. The third meeting included a presentation of the TE findings to Dr. Amparo Martínez, Head at INECC, and INECC and UNDP staff for final feedback and validation of the findings. This meeting provided the inputs to finalize this TE.

## 2.3 Criteria

This TE follows the criteria recommended by the UNDP (2012b) guidance for TE but was adjusted to inform on key themes relevant for the UNDP Country office team and INECC staff. Table 2 provides a description of the criteria and how these are related to specific questions.

**Table 2: Description of the criteria used and associated questions used in the TE**

Criteria	Description	Questions Asked
<b>Design</b>	Extent to which the project design considered issues of timing, stakeholder participation and national capacities to implement the project.	Where key stakeholders considered in the project design? Who determined the studies to be included in the FNC? Did the project design adequately consider the national scientific capacities and institutional framework?
<b>Results</b>	Extent to which the project has accomplished the planned outcomes and outputs and their quality.	To what extent have the objectives and the expected results of the project or particular studies related to the FNC been achieved?
<b>Effectiveness</b>	Extent to which the design and implementation of the project has been performed in an effective way considering issues of timing, stakeholder participation, and the process of monitoring and evaluation.	During the project was a monitoring and evaluation process established? Have the project been delivered on a timely manner?  To what extent have key organizations and actors been engaged?  Was the cooperation and collaboration between agencies effective?  What improvements exist in relation to past NC in terms of the administrative process, creation of products and collaboration with key stakeholders?  What barriers do you identify in the administrative process, project design, product creation and collaboration with key stakeholders?
<b>Efficiency</b>	The extent to which results have been delivered with the least costly resources (cost-efficiency).	The project had sufficient financial support?  The use of financial resources was efficient? Could the efficiency of the project improved?

<b>Relevance</b>	Extent to which the project helps to develop national policies, supports sustainable development in the country, and the impact of the project in relation to capacity building.	Do you think the project helps the decision making process? Do you think the FNC has impact in the development of public policies?
		What is the impact of the project in relation to the sustainable development goals of Mexico?
		Did the project help build capacities at the individual or institutional levels?
		Taking into account recent legal and institutional arrangements (e.g. the General Law on Climate Change and the National Climate Change System). How will future NC be affected? What changes should the NC elaboration process make?
<b>Sustainability</b>	Extent to which the benefits of the project can be sustained after completion.	Are the conditions established to support the results and benefits associated with the project in the long term?

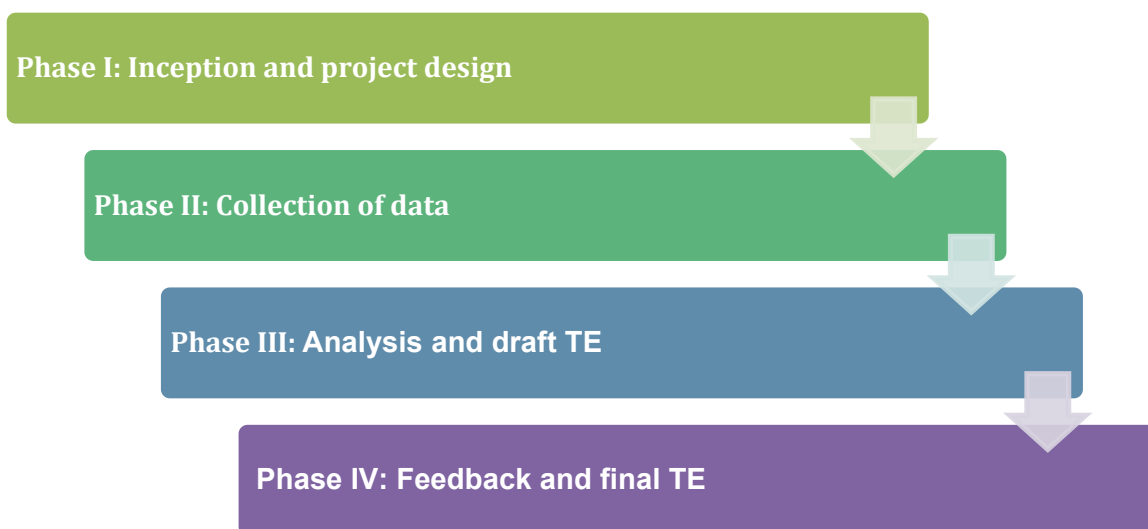
## 2.4 Project design

The TE is conducted by an independent consultant that has in-depth knowledge of climate change policy in Mexico and has collaborated in different climate change projects with the main stakeholders involved in the development of the FNC. This experience provides key insight on climate change institutions and actors, the institutional context and capacities that are relevant for the TE. At the same time, the consultant has a proven record of independency from all the main stakeholders, which is key to fulfill a successful TE of the FNC. The time scheduled considered the period between the 17<sup>th</sup> of November 2014 and the 31<sup>th</sup> of January 2015.

The project design for the TE has four phases (see Figure 3).

**Figure 3: Project design phases**





The first phase includes an inception meeting with the UNDP Country office team and INECC staff. From this meeting an *Inception Report*<sup>2</sup> was elaborated and submitted to the UNDP and INECC staff. This report included a research design proposal. The consultant received feedback from UNDP and INECC to adjust the research design. Moreover, the UNDP Country office team and INECC staff provided key documentation for the consultant to review.

The second phase includes the collection of key documents identified by the UNDP Country office team and INECC staff and the collection of primary data through semi-structure interviews. See Section 2.2, Annex I, and Annex II.

The third phase includes the analysis of the data collected and the elaboration of a draft version of the TE that was submitted to the UNDP and INECC for their revision and feedback. Moreover, a presentation of the main findings for INECC staff is planned in order to get further feedback on the TE.

The final phase refines the draft considering the comments received. The consultant presented final draft of the TE report by the 21<sup>th</sup> of January 2015 for a final review in order to incorporate those comments in the final version of this TE report.

### 3. Main findings

This section divides the TE findings in two main subsections. First, the evaluation findings for the project design. And, second the evaluation findings for the project implementation.

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<sup>2</sup> This report was submitted the 21<sup>st</sup> of November 2014.

### 3.1 Project Design (Moderately Satisfactory)

The evaluation of the project design considers issues of timing, stakeholder participation and national capacities to implement the project.

The evaluation of the project design examined *The Project Document* (UNDP, 2011b) as its main document source. It provided information related to the objectives, scope and quantity of studies considered in the FNC. The project considered five main outcomes and 28 outputs in its objectives and work plan.

#### Timing (Moderately Unsatisfactory)

The project design considered 17 months<sup>3</sup> for the implementation of the FNC, which resulted in a time constraint for the successful implementation of the project (see Section 3.2.2).

According to two of the interviewees that were key players participating in the project design, the work plan of the FNC considered as a critical milestone the end of the federal government administration period. One key conclusion of this TE is that the timing schedule in the project design was influenced by political considerations associated with the political administration cycle that affected the successful implementation of the project.

Only one out of 22 of the interviewees, mentioned that the scope of the project design was not ambitious and that it considered an effective time schedule for the implementation of the project. In contrast, ten of the interviewees highlighted that the implementation of the project suffered considerable time constraints affecting the workload at INECC staff. This also affected the quality of some products (see Sections 3.2.1; 3.2.2).

This TE rates the timing in the project design as moderately unsatisfactory due to the reduced time for the submission of the FNC, the consultant concludes that the scope of the FNC was not realistic with its actual time for implementation and the timing was influenced by political considerations that affected the implementation cycle of the project.

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<sup>3</sup> *The Project Document* was accepted in August 2011 and the FNC had to be submitted in December 2012.

### Stakeholder participation (Satisfactory)

An interviewee who participated in the design of the project highlighted that key actors were consulted to elaborate *The Project Document* and to determine the scope of the FNC. Stakeholder participation included the development of meetings, interviews and workshops with key stakeholder, such as members of the scientific community, government officials, members of the legislative, staff at UNDP and key NGOs to discuss which studies could be integrated in the FNC. A group of consultants was hired to work on these activities.

Nevertheless, this TE did not receive documentation to verify the stakeholder participation and who were those key actors consulted. Therefore, this TE rates stakeholder participation in the design phase of the project as satisfactory.

### Consideration of national capacities (Moderately Satisfactory)

This subsection examines if national capacities were considered in the design of the project.

On the one hand, two of the interviewees mentioned that national capacities were considered in the design of the project and that staff at INECC has a rich network in the national scientific community to identify who could be responsible for the studies in the FNC.

On the other hand, at the implementation phase for some studies there was a mismatch between the demands requested in the scientific studies and the availability of highly qualified human resources capable of responding to the time schedule proposed in the procurement process.

Here, UNDP procurement guidelines request to evaluate at least three different proposals for each study but in some cases it was difficult to identify the human resources to cover this demand. These had delay the procurement process and resulted in time constraint for the overall project cycle of the specific study.

As a result, this TE rates the consideration of national capacities in the design as moderately satisfactory.

The overall TE rate for the design is moderately satisfactory taking into account that timing was rated as moderately satisfactory, stakeholder participation as satisfactory and the consideration of national capacities as moderately satisfactory.

### 3.2.1 Project Results: Achievement of Outcomes and Outputs (Satisfactory)

Project results are assessed in terms of the achievements of outcomes and outcomes as stated in *The Project Document* (UNDP, 2011b) but also in terms of the quality of the products and the project.

Mexico's FNC was submitted to the UNFCCC in December 2012<sup>4</sup>. However, some activities associated to the design of the publication were completed in 2013. Moreover, four out of the 22 interviewees mentioned that some studies that were not on time for the publication of the FNC were completed in 2013. One interviewee said that some inputs of those studies were incorporated in an updated version of the National GHG Inventory 1990-2010 that was published in 2013.

As mentioned in the introduction, an important delay is related to the development of this TE, which was originally planned for November 2013 but has been delayed and will be completed only in January 2015. This TE has been delayed due to three main reasons. First, there were significant changes at the structure of INECC, the implementing partner, related to the General Law on Climate Change (DOF, 2012) and the adjustment of responsibilities for INECC. Second, in Mexico there was a change of administration at the federal government. Third, the UNDP Country Office staff also suffered changes, contributing to the delay (UNDP-GEF, 2014).

As mentioned in the introduction of the TE, the FNC established five main outcomes, which are linked to 28 outputs. Table 3 shows the level of completion of these outputs. Note that Annex IV presents a table with a full description of the outcomes and outputs and their status.

**Table 3: Level of completion of the outputs of the FNC**

Outcome	Output	Status
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<sup>4</sup> The electronic version in pdf of the FNC can be downloaded at the INECC website ([www.inecc.gob.mx](http://www.inecc.gob.mx)). Mexico Fifth National Communication consists of seven chapters:

- I. National Circumstances
- II. Institutional Arrangements
- III. Programs that include measures to facilitate<sup>[SEP]</sup> appropriate adaptation to<sup>[SEP]</sup> climate change
- IV. National Greenhouse Gas Emissions Inventory
- V. Climate Change Mitigation Programs
- VI. Further Important Information for Achieving the Objective of the Convention
- VII. Obstacles, Shortcomings<sup>[SEP]</sup> and Needs Related to Financing, Technology and Capacities

1. National GHG inventory for 1990 - 2009 has been produced.	1.A	Completed
	1.B	Not Completed
	1.C	Completed
	1.D	Completed
	1.E	Completed
	1.F	Completed
	1.G	Completed
	1.H	Completed
2. Sector, local and national impacts, vulnerability and adaptation policies and measures to address climate change, variability and extreme events have been assessed and adaptation activities, measures and programs implemented between 2009 and 2012 have been described.	2.A	Completed
	2.B	Completed
	2.C	Completed
	2.D	Completed
	2.E	Completed
3. GHG mitigation policies and measures, implemented between 2009 and 2012 have been described and analyzed; GHG emission scenarios from sources and sinks have been generated; and potential future GHG mitigation options have been assessed, including their economic impacts.	3.A	Completed
	3.B	Completed
	3.C	Completed
	3.D	Completed
	3.E	Completed
	3.F	Completed
	3.G	Completed
4. National circumstances and national and regional development priorities as well as key additional information and the needs identified during the preparation of the NC updated from 2009 to 2012.	4.A	Completed
	4.B	Completed
	4.C	Completed
	4.D	Completed
5. Fifth national communication approved by the Inter-Ministerial Commission on Climate Change (CICC), published and information disseminated.	5.A	Completed
	5.B	Completed
	5.C	Partially Completed
	5.D	Completed

Table 3 shows the progress in the implementation for each of the five outcomes and 28 outputs as reported in the *Project Implementation Report* (UNDP-GEF, 2014) and validated with the interviews conducted during the elaboration of this TE.

Out of 28 outputs only one was not completed. Output 1.B. *Preparation of Guidelines for organizing activity data validation and quality control, and perform key source category analysis and uncertainty assessment*. This output was not completed due to timing and prioritizing for other studies that needed to be concluded for the FNC (UNDP-GEF, 2014).

Moreover, the Output 5.C. *Publication of a Special NC document accessible to the general public* was only partially completed since the document was elaborated and published but according to one key informant the document has not been made accessible to the general public.

The interviews showed that most interviewees, 15 out of 22, agreed that the objectives, outcomes and outputs of the FNC were satisfactory. However, three interviewees mentioned that some studies were not concluded because there were not on time and therefore could not be incorporated in the publication of the FNC. But, one key informant highlighted that these studies are online at INECC's website<sup>5</sup> and are important inputs for the national climate policy.

According to three out of 22 of the interviewees some of the outcomes and their related studies were innovative. For example, one interviewee mentioned that the FNC included a new approach to climate change adaptation in cities. Another of the interviewees mentioned how the creation of the Climate Modeling Network was a milestone; for the first time all key national research groups on climate modeling worked together to create the climate change scenarios. This included research groups at the UNAM Center for Atmospheric Science (Centro de Ciencias de la Atmósfera/ CCA), the Mexican Institute of Water Technology (Instituto Mexicano de Tecnología del Agua/ IMTA) and the Center for Scientific Research and Higher Education at Ensenada (Centro de Investigación Científica y Estudios Superiores de Ensenada/ CICESE).

However, in an informal conversation with a key informant, it was mentioned that the quality of some of the studies linked to the outputs were of low quality. This TE identifies that time delays and time constraints at different stages of the project cycle affected the quality of studies associated to the outputs impacting the overall quality of the project (see Section 3.3).

From a purely output-oriented perspective, the achievement of the project's outcomes and outputs can be rated as highly satisfactory, since most of the intended outputs were completed and the FNC was submitted as planned to the UNFCCC in December 2012. Nevertheless, the analysis also shows

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<sup>5</sup> <http://www.inecc.gob.mx/estudios#cpcc2012>

that there are issues related to time delays and timing constraints along the project cycle which affected the quality of some studies associated to outputs impacting the overall quality of the project. Therefore, the achievement of outcomes and outputs is evaluated as satisfactory.

### 3.2.2 Project Effectiveness (Moderately Satisfactory)

This section assesses the project effectiveness considering issues of (a) timing, (b) participation of stakeholders and (c) the monitoring and evaluation process during the elaboration of the FNC.

#### Timing (Unsatisfactory)

Nine out of 22 of the interviewees stated that one critical barrier associated to the effectiveness of the FNC is linked to time constraints at different stages of the project cycle. Most of the interviewees consulted in this evaluation mentioned, for example, that the initial process for the elaboration of the FNC took too long, shortening the actual time of the implementation and elaboration of the studies as inputs of the FNC.

This report finds that there are different barriers resulting in time delays and constraints for the project cycle of studies affecting their quality.

- For some studies there is a mismatch between the demands requested in the scientific studies and the availability of highly qualified human resources capable of responding to the time schedule proposed in the procurement process. Moreover, UNDP procurement guidelines request to evaluate at least three different proposals for each study but in some cases it is difficult to identify the human resources to cover this demand. These may delay the procurement process and result in time constraint for the overall project cycle of the specific study.
- The complexity of UNDP norms in the procurement process may also result in delays affecting the project cycle of studies.
- To initiate complex scientific studies with time constraints may result in unrealistic working calendars affecting the review process and the quality of products.

The initial delay in the project resulted in increasing time pressure. Most of the staff at INECC consulted complained that the delays lead to an increase in the time pressure to accomplish the outputs of the FNC resulting in an extreme workload for the staff with extra hours on a daily base and

even work during weekends without a compensation. This indicates that there is a mismatch between the outcomes and output goals of the FNC and the availability of human resources and capacities at INECC.

The interviewees at INECC and UNDP mentioned that there were insufficient human resources to attend all the demands in the final phase of the project where the studies were reviewed, edited and integrated into the FNC for publication.

This TE rates as unsatisfactory the relation of the management of timing in the project since it affected the project cycle of studies and their quality.

### **Stakeholder participation (Highly Satisfactory)**

The FNC states that NCs are developed with the participation of universities and research institutions, federal, state and municipal agencies, and organization in the private sector and among civil society (INECC-SEMARNAT, 2012b). This participation involves the submission of relevant information and data, the participation in specific studies, and the participation in workshops.

Most (85%) of the interviewees highlighted that there has been a significantly increase in the involvement of member of states and municipal agencies and in the number of institutions and experts involved in the elaboration of the FNC, in comparison with previous NC.

In 2005, the government established the CICC, which has become according to most of the interviewees who are members of institutions that take part of the CICC, a key institutional arrangement to facilitate the coordination of data and information for the NC. The FNC has benefited from these institutional arrangements. The interviews highlighted that the participation was effective among the CICC members but that it could improve with other institutions not members of the CICC.

Moreover, the General Law on Climate Change (DOF, 2012) mandates the creation of the National Climate Change System that will coordinate climate change policy at the national, state and municipal levels and the legislative branch. This will enhance further the flow of data and information for future NC. Moreover, the federal government is working on the National Safeguards System for Reducing Emissions from Deforestation and Degradation (REDD), the National Registry for REDD and the



National Registry for Emissions. All these instruments will facilitate the submission of relevant data and information for coming NC.

Workshops were held with the dual purpose of raising awareness and knowledge on the topic and discussing priorities. Most of the interviewees had a positive opinion about their participation and the organization of the workshops taking place at an initial, intermediate and final phase of the project. Nevertheless, three of the interviewees mentioned that these workshops could be more inclusive.

Table 4 presents the participation of institutions and persons by sector at the national and subnational levels in four of the workshops developed for the FNC. Note that the consultant had only access to the list of participation of these four workshops. The complete data analysis of the workshop participation is in Annex V.

**Table 4: Stakeholder participation by sector**

	Stakeholder participation by sector						
	Government	Legislative	International organizations	NGOs	Scientific community	Private sector	Total
<b>National level</b>							
Institutions	25	2	5	19	16	2	67
Persons	93	2	16	32	36	4	183
<b>Subnational level</b>							
Institutions	20	0	-	8	24	0	52
Persons	74	0	-	12	59	0	145

As Table 4 shows the participation was balanced in terms stakeholder representation at the national and subnational levels. There is concentration of the participation within the governmental sector, the scientific community and NGOs. In contrast, there is a very weak participation of the Legislative and the private sector. International organization had also an important participation in the development process of the FNC.

An interviewee highlighted that for the first time there were several regional workshops to present final results of the FNC. This indicates a higher involvement and interest of subnational levels in climate change activities. The development of State Climate Change Programs and Municipal Action Plans have created communities of people involved in climate change policy and climate science at the state and municipal levels which have important inputs to share for the NC. However, one interviewee mentioned that some NGOs working on climate change at the local level were excluded from the process.

One of the interviewees highlighted the need to have sectoral workshops since an important barrier for the inclusion of stakeholders in the elaboration of the NC is related to understanding both the process of the NC and how their participation may result in sectoral specific benefits. Other interviewees stated the need to promote the participation of the private sector given the weak participation of this sector.

The effectiveness of stakeholder participation is rated as highly satisfactory since it took important steps towards the inclusion of subnational stakeholders. In addition, the institutional arrangements are helping to improve the flow of data and information for the NC. It is expected that the coordination and participation will enhance even further with current institutional arrangements and emerging climate change instruments (e.g. National Climate Change System).

### **Monitoring and Evaluation (Moderately Satisfactory)**

UNDP (2011b) states that a mid-term evaluation was not planned in the project due to the short timeframe of the project and Mexico's extensive experience in preparing NC. Although, as stated in *The Project Document* (UNDP, 2011b), quarterly progress reports on planned activities, annual progress reports and follow up meetings were to be held. However, the consultant did not received these documents or any other document related to the monitoring and evaluation of activities in the FNC.

Nevertheless, some of the interviewees argued that there was a monitoring and evaluation of the activities, which was coordinated by the implementing office at INECC. In an interview, Julia Martínez, project coordinator of the FNC, highlighted that there was an exhaustive internal monitoring and evaluation process of the project. She highlighted that there were periodical evaluations of the progress of studies results by the CICC members and by UNDP staff. The studies were not accepted until they reached the desirable quality.

But the consultant did not receive the any documentation to verify the monitoring process during the

FNC. Therefore, this TE rates the monitoring and evaluation process during the FNC as moderately satisfactory.

Considering the results for the three variables considered to assess the project effectiveness (a) timing, (b) participation of stakeholders and (c) the monitoring and evaluation process, this TE rates the overall project effectiveness as moderately satisfactory.

3.2.3 Project efficiency (Satisfactory)

Project efficiency is related to how the results have been delivered with least costly resources, in other words referred as the cost-efficiency of the project.

The project was co-funded by GEF-UNDP resources accounting for a total budget of **\$2,707,536.00 USD** and a contribution in kind by the Mexican Government estimated in **\$4,440,000.00 USD** giving a total project budget of **\$7,147.536.00 USD**.

Table 5: Disbursement of financial resources during the project cycle by UNDP-GEF

2011	2012	2013	Total
\$93,942.06 USD	\$2,148,044.91USD	\$448,840.00 USD	\$2,690,826.97 USD

Source: UNDP (2011a/ 2012b/ 2013).

The remaining budget was allocated for the period of 2014-2015 with a total amount of \$16,079 USD (UNDP, 2014).

This TE concludes that the financial resources co-founded by GEF-UNDP were managed in accordance with the project documents and UNDP norms and the efficiency could be rated as highly satisfactory. This conclusion is based on the *Audit Report* (RSM Bogarín y Cía S. C., 2012), the interview with the Program Administrator at UNDP, and the review of the documentation.

In terms of the contribution in kind by the Mexican Government, the consultant did not have access to any documentation or report to assess how the contribution was monitored and verified during the project cycle. Nevertheless, there is sufficient evidence through the interviews to state that there was an important in kind contribution by the Mexican Government to successfully implement the project. This TE rates the efficiency of the in kind contribution of the Mexican Government as moderately

satisfactory due to the lack of evidence and transparency of how these resources contributed in the project. One key recommendation is to consider the elaboration of a financial report of the contribution in kind considering a monitoring and evaluation process.

This TE rates the overall efficiency of the project as satisfactory.

### 3.2.4 Relevance (Satisfactory)

This section analyses the extent to which the project helps to develop national policies, supports sustainable development goals in Mexico, and the impact of the FNC in relation to the presence of Mexico in the international level.

Most of the interviewees (85%) highlighted that NC have contributed not only to the improvement of the scientific understanding of climate change but have influenced the decision making process that leads to the formulation of climate policies and also enhance national awareness on climate change.

NCs serve as a valuable reference document of Mexico's status on climate change policy and science. The FNC is a key reference to define how Mexico can best contribute to climate change mitigation as well as how to adapt to the potential impacts of climate change. Nevertheless, one of the key informants mentioned that due to the timing of the publication of the FNC that coincided with the transition of the federal government to a new elected administration from a different political party affected the relevance of the FNC in relation to public policy. This informant mentioned that, for example, the Special Climate Change Program 2014-2018 received limited inputs from the FNC.

In terms of the impact of the FNC with sustainable development goals in the country, in the one hand about half of the interviewees highlighted that the NC supports directly sustainable development goals in México by promoting the implementation of mitigation and adaptation projects. On the other hand, half of the interviewees mentioned that NCs only have a limited impact on sustainable development goals creating greater awareness.

One criticism to the NC was that its size is too large. A proposal is to generate executive summaries for policy makers directed for specific sectors in order to enhance the relevance of the NC in terms of public policy.

In relation to the impact of the FNC at the international level, one interviewee from the Ministry of Foreign Affairs stated that the FNC had more impact at the international level than at the national level. The interviewee pointed out that the submission of the FNC helped to situate Mexico's reputation as a

serious and responsible actor within the UNFCCC negotiations. It also reinforced the country's international perception as a committed country responding to the climate change challenge. Mexico is the only non-Annex I country that has submitted five NCs in the world.

This evaluation considers that the project relevance in terms of public policy and sustainable development is moderately satisfactory. However, the project relevance in terms of its impact at the international level is rated as highly satisfactory. The overall project relevance is rated as satisfactory.

### 3.2.5 Sustainability of results (Satisfactory)

This section assesses the sustainability of results. This refers to the likelihood to which the projects benefits will remain over time, after the project has come to an end. This assessment of sustainability considers the risks that are likely to affect the continuation of the project's outcomes.

As mentioned in the introduction, Mexico has increased its policy response to climate change in recent years. The Mexican Government has established a multi-sectoral institutional environment to address climate change and to create periodical NC and climate change strategies and programs at the national and subnational levels. In 2005, the government established the CICC. In 2012, the Mexican Congress passed a General Law on Climate Change, which provides a regulatory framework to coordinate climate change activities in Mexico (INECC, 2013a; Mullan *et al.*, 2013). Moreover, the Mexican Government is highly committed to its international commitments in terms of climate change, being for example the only country non-Annex I country that has submitted five NCs.

The institutional arrangement supports a sustainable commitment on climate change mitigation and adaptation activities. Nevertheless, the political will at the national, state and municipal levels also determines the scope of financial and human resources committed to climate change actions. These political will varies over time depending on the general agenda and context.

Most interviewees highlighted that the FNC developed capacity building at the individual level of those actors participating in the process of elaboration of the NC. However, some mentioned that capacity building at the institutional level was much weaker. Therefore, one way to support the sustainability of results is to enhance capacity building at the institutional level in coming NCs.

Staff turnover is a risk to the sustainability of results in the future. Individual capacities built, are lost due to staff turnover, therefore the development of institutional capacities should be as important as

the development of individual capacities to reduce this risk.

This TE ranks the sustainability of results as satisfactory due to the established legal and institutional arrangements in Mexico that support climate change response in the medium and long term.

#### 4. Recommendations

This TE has the following recommendations:

- The scope of the outputs and associated studies in the NC should consider: (a) time constraints in the implementation phase, (b) the financial resources available, and (c) the complexity of the scientific investigation. As indicated in the analysis of this TE, it is not recommendable to initiate a complex scientific study with limited time available, since this will lead to unrealistic working calendars and diminished quality of the outputs.
- INECC's monitoring and reporting system of activities related to future NCs must improve to enable a more complete, consistent, transparent and accurate verification of the implementation of the project. It is recommended to link the monitoring and reporting to the SIAT-PECC.
- The monitoring and reporting system should include a financial report associated to the contribution in kind in order to enhance transparency and accountability.
- The creation of the National Climate Change System, the National Safeguards System for REDD, the National Registry for REED and the National Registry for Emissions should take into account in their design the needs of data and information of NC. These climate policy instruments should enhance and facilitate the flow of information in future NC.
- Future NC should integrate better local inputs and knowledge. For example, NC could enhance the participation of NGOs and institutions that work on climate change at a local level in order to understand better best practices and barriers at the local level.
- Executive summaries for each chapter could enhance the impact and increase the audience of future NCs and also facilitate the work for the main executive summary of future NCs.
- Sectoral executive summary for policy-makers should be developed to enhance public policy impact of future NC. In particular, if the NC tackles specific sectors in-depth.
- The publication of NC should not coincide with administrative federal electoral cycles and changes in administration since this reduces the impact of the NC in public policy.

## 5. Conclusions

The aim of this TE was to analyze the implementation Mexico's Fifth National Communication to the UNFCCC. The FNC planned to accomplish five main outcomes linked to 28 outputs.

This TE used multiple methods to triangulation data from different sources to validate the information and evaluate the planned objectives and outputs. The TE used six criteria to evaluate the project design, results, effectiveness, efficacy, relevance and sustainability.

The evaluation of project design assessed issues of timing, stakeholder participation and national capacities to implement the project during the project design phase. This TE concludes that the project design was influenced by political considerations associated with the political administration cycle that resulted in time constraints during the implementation phase. Therefore, this TE rated timing in the project design as moderately unsatisfactory. According to key informants, during the project design phase key stakeholder were consulted to elaborate *The Project Document* and to determine the scope of the FNC. However, this TE could not verify any documentation supporting the stakeholder participation at the design stage. The TE rated stakeholder participation as satisfactory. The consideration of national capacities during the design phase for the project was rated as moderately satisfactory due to the mismatch between the demands requested in the some of the scientific studies and the availability of highly qualified human resources for these studies in the country. This TE rated the overall the project design as moderately satisfactory.

In terms of the project results, the FNC has successfully achieved the project objectives, outcomes and outputs. All five main outcomes were completed and 27 out of 28 outputs were also completed. Moreover, the FNC contributed to the elaboration of innovative studies such as the approach to climate change adaptation in cities and the creation of a Climate Modeling Network, where all key national research groups on climate modeling worked together to create regional climate change scenarios. This TE rated project result as satisfactory since from a purely output-oriented perspective the project accomplished most activities successfully, however, there were some studies that as a result of delays were not delivered in time and hence not incorporated in the FNC. In addition, it was also identified that some studies were of low quality.

In relation to the project effectiveness which considers three key aspects of the project implementation: timing, participation of stakeholders and the monitoring and evaluation procedures

during the elaboration of the FNC, the overall effectiveness of the project was rated as moderately satisfactory. Although the stakeholder participation was rated as highly satisfactory, there are significant shortcomings at different stages of the project cycle, resulting in delays and time constraints resulting unsatisfactory in terms of time management. Moreover, the monitoring and evaluation was rated as moderately satisfactory due to the limited evidence to verify these processes.

A slow initial phase of the project, the complexity of UNDP norms mainly in the procurement process and the specificity and complexity of some studies to be elaborated, are identified as barriers that lead to time delays, increasing the time pressure to finish the outcomes planned and leading to an increase in workload to the staff mostly in the final phase of the project, which was highlighted by many interviewees as a mismatch of human resources in relation to the demands of the project.

Stakeholder participation was encouraged, resulting in an increased participation and involvement of members of state and municipal agencies, in comparison with previous NC. However, the involvement of the private sector and local NGOs was weaker and should be enhanced in the future.

The project efficiency analyzed the extent to which the project financial resources were used in a cost-effective way. This criteria was rated as satisfactory since the project goals and outcomes were achieved within the established budget. But, this TE noted lack of documentation related to the in kind contribution by the Mexican Government.

The extent to which, the project helps to develop national policies and supports the sustainable development of México was also analyzed under the criteria of relevance. This TE rated this criteria as satisfactory since the NC contributed to the generation of information and scientific understanding supporting the decision making process as a valuable reference document. The NC also supports sustainable development of Mexico by promoting the implementation of adaptation and mitigation actions and by creating awareness on climate change.

The FNC had a positive impact in the building of capacities at an individual level but it had a weaker impact on capacity building at the institutional level, here is an area of opportunity to improve the overall impact on capacity building.

Overall the FNC showed improvements in many areas such as stakeholder participation, the creation of the National Climate Modeling Network, the extent of studies created, and the update of the national GHG inventory. Nevertheless, there are still some challenges and areas of opportunity, where the implementation of future NC can be improved.



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## Annex I: List of the interviewees

	Institution	Name	Area of work during Fifth National Communication	Actual area of work in 2014	Date of interview
1	INECC	Mtro. José Alberto Macías Vargas	Vulnerability and Adaptation to Climate Change	Vulnerability and Adaptation to Climate Change	19 noviembre 2014
2		L.C.A. Maryam Nava Assad	Vulnerability and Adaptation to Climate Change	Vulnerability and Adaptation to Climate Change	19 noviembre 2014
3		Mtro. Israel Laguna Monroy	Mitigation	INECC Greenhouse Gas Inventory	19 noviembre 2014
4		Ing. Luis Alberto Conde Álvarez	Greenhouse Gas Inventory	Greenhouse Gas Inventory	5 diciembre 2014
5		Julia Martínez	Coordinator	Center for Sustainable Transportation	7 enero 2015
6	UNDP	Biol. Gloria Cuevas Guillaumin	Vulnerability and Adaptation to Climate Change	SEMARNAT	2 diciembre 2014
7		Ing. Víctor Hugo Escalona Gómez	Greenhouse Gas Inventory	SEMARNAT	2 diciembre 2014
8		L.A.E. Lourdes Azpeitia	Administrative Area	Administrative Area	5 diciembre 2014
9	SER	Rodolfo Godínez Rosales	Director Medio Ambiente, Área Cambio Climático	Director Medio Ambiente, Área Cambio Climático	14 enero 2015
10	SECTUR	Mtra. Carolina Chávez Oropeza	Director of Sustainable Tourism Development Areas	Director of Sustainable Tourism Development Areas	2 diciembre 2014
11	SEDESOL	Mtro. Marco Aurelio García Domínguez	SEDESOL focal point to CICC	Head of Statistical Analysis UNAM	3 de diciembre 2014
12	SAGARPA	Mtra. Iris Adriana Jiménez Castillo	SAGARPA focal point to CICC/ Deputy Director for Climate Change Assessment	INECC	19 noviembre 2014
13	CONAFOR	Ing. José Carlos Fernández Ugalde	Head of International Affairs of the Mexican National Forestry Commission		5 diciembre 2014
14	CONABIO	Dr. Frank Michael Oliver Schmidt	Coordinator of Interinstitutional projects	Coordinator of Interinstitutional projects	3 de diciembre 2014
15	CFE	Ing. Juan José Mendoza Salgado	Management of Environmental Protection, Deputy Manager Emission Assessment	Management of Environmental Protection, Deputy Manager Emission Assessment	2 de diciembre 2014
16	PEMEX	Ing. Cruz Ernesto Hernández Ramírez	Management of Sustainable Development and Environmental	Management of Sustainable Development and Environmental	4 de diciembre 2014
17	IMP	Dr. Jorge Gasca Ramírez	Management Energy Efficiency and Sustainability	Management Energy Efficiency and Sustainability	3 de diciembre 2014
18	COLPOS	Dra. María de Lourdes de la Isla de Bauer	Graduate Research Professor Hydrosciences	Graduate Research Professor Hydrosciences	1 de diciembre 2014
19	ECOSUR	Dr. Bernardus Hendricus Jozeph De Jong	Science Department of Sustainability	Science Department of Sustainability	1 de diciembre 2014
20	CCMSS	Dr. Iván Zuñiga	Coordinator of public policy area	Coordinator of public policy area	28 de noviembre 2014
21	WWF	Lic. Roberto Troncoso			19 de noviembre 2014
22	Independent Consultant	Martha Perdomo	Elaboration of ProDoc	/	16 de enero 2015

## **Annex II: List of questions for the interviews**

### **GENERAL**

1. Briefly describe your work in relation to Climate Change
2. What was your involvement in the preparation of the Fifth National Communication?

### **PROJECT DESIGN**

3. Where key stakeholders considered in the project design?
4. Who determined the studies to be included in the FNC?
5. Did the project design adequately considered the national scientific capacities and institutional framework?

### **PROJECT RESULTS**

6. To what extent have the objectives and the expected results of the project or particular study of the fifth national communication been achieved?

### **PROJECT EFFECTIVENESS**

7. During the process was a monitoring and evaluation program established? Have progress reports been delivered on a timely manner?
8. Was the cooperation and collaboration between agencies effective??
9. What improvements exist in relation to past NC in terms of administrative process, creation of products and collaboration with key stakeholders?
10. What barriers do you identify in the administrative process, project design, product generation and collaboration with key stakeholders?

### **PROJECT EFFICIENCY**

11. The project had sufficient financial support?
12. The use of financial resources was efficient? Could it be more efficient?

### **RELEVANCE**

13. Do you think the project helps the decision making process? Do you think the 5th NC has some impact on the development of public policies?
14. What is the impact of the project in relation to the sustainable development goals of México?
15. Did the project help build capabilities at the individual or institutional levels?
16. Taking into account future changes (e.g. the general law of climate change and the national system of climate change) How will the future NC be affected? What should be adjusted in the NC elaboration process?

### **SUSTAINABILITY**

17. Are the conditions established to support the results and benefits associated with the project in the long term?

### Annex III: Meetings

#### 1) Inception Meeting

First meeting with the Evaluation team and the Executing Team (INECC/UNDP), where the final evolution scope was analyzed and discussed.

Date: 18. 11. 2014

#### Attendees:

Name	Institution
Daniel Buira	INECC
Iris Adriana Jiménez Castillo	INECC
Gerardo Arroyo O'Grady	UNDP
Lourdes Azpeitia	UNDP
Arnoldo Matus Kramer	Independent Consultant
Isabel Caamaño Ricken	Independent Consultant

#### Agreements

Activity	Content	Date	Products
<b>Draft Terminal Evaluation</b>	Draft of full report with attachments	15-Dec-14	Terminal Report Draft Presentation to the UNDP country office team and INECC staff
<b>Terminal Report</b>	Terminal Report	15-Jan-15	Terminal Report Presentation to UNDP country office team and INECC staff

## **2) Meeting to discuss the results of the draft version of this TE**

Second meeting with the Evaluation team and the Executing Team (INECC/UNDP), where the preliminary results of the draft are going to be discussed and feedback will be incorporated in the final version of the Terminal Evaluation.

Date: 13. 01. 2014

### **Attendees:**

<b>Name</b>	<b>Institution</b>
Daniel Buira	INECC
Iris Adriana Jiménez Castillo	INECC
Gerardo Arroyo O'Grady	UNDP
Lourdes Azpeitia	UNDP
Arnoldo Matus Kramer	Independent Consultant
Isabel Caamaño Ricken	Independent Consultant

<b>Activity</b>	<b>Content</b>	<b>Date</b>	<b>Products</b>
<b>Presentation of TE</b>	Power point presentation of main findings to INECC and UNDP country office.	28-Jan-15	Terminal Report Presentation to the UNDP country office team and INECC staff
<b>Terminal Report</b>	Terminal Report	30-Jan-15	Delivery of Terminal Evaluation Report

## Annex IV: Project goal, main outcomes: Project Implementation Report

Project goal	Main Outcomes	Status 2013	Status 2014
To assist the Government of Mexico in strengthening its capacity to design public policies, including mitigation and adaptation policies and measures, and to evaluate the environmental, social and economic impacts of their implementation, in order to fulfill its commitments to the UNFCCC, in particular by preparing its Fifth National Communication.	(A) Preparation of a National GHG inventory for the sectors: (i) energy, including transport and fugitive emissions; (ii) industrial processes; (iii) agriculture; (iv) LULUCF; and (v) waste, for 1990-2009;	GHG inventory for 1990-2010 has been completed and publication will be uploaded to the INECC website by the end of August 2013. See more details in Outcome 1.	Completed
	(B) Assessment of vulnerability and adaptation policies and measures to address climate change, variability and extreme events;	In-depth evaluation of impacts, vulnerability and implemented adaptation programs and strategies to address climate change, variability, and hydro-meteorological extreme events, at national and local level have been carried out successfully. See more details in Outcome 2.	Completed
	(C) Assessment of policies and measures to mitigate climate change	GHG mitigation policies and measures reported in the 5NC. See more details in Outcome 3.	Completed
	(D) Description of national circumstances and additional key information;	Report on national circumstances and national and regional development priorities updated for Fifth NC (until 2012). See more details in Outcome 4.	Completed
	(E) Publication of Fifth National Communication	Fifth National Communication has been finalized and published and INECC updated website. See more details on Outcome 5.	Completed

Project outcomes and outputs and level of completion at 2013 and 2014

Outcome	Output	Status 2013	Status 2014
1. National GHG inventory for 1990 - 2009 has been produced.	1.A. Update of National GHG inventory for the sectors: (i) energy, (ii) industrial processes; (iii) agriculture; (iv) LULUCF; and (v) waste, for 1990-2009	GHG inventory updated and recalculated for period 1990-2010, and not until 2009 as initially planned.	Completed
	1.B. Preparation of Guidelines for organizing activity data validation and quality control, and perform key source category analysis and uncertainty assessment	This target was not carried out due to timing and prioritizing of studies that needed to be concluded for the 5NC presented in December 2012	Same as 2013
	1.C. Studies on emission factors for key sources	National emission factor for fugitive emissions from the petroleum industry obtained	Completed
	1.D. Development of a GHG Inventory's Information System	System to manage the GHG Inventory information developed	Completed
	1.E. Development of methodologies for estimating emissions in the transport sector	Methodologies for estimating emissions in the transport sector developed	Completed
	1.F. GHG emissions inventory for the LULUCF sector adapted to the 2006 IPCC methodology and aligned with REDD+ group's work	GHG emissions inventory for LULUCF recalculated using the 1996 and 2003 IPCC methodology (2006 not adequate for LULUCF)	Completed
	1.G. Publication and presentation of the GHG inventory	GHG inventory is published and presented in 3 regional forums between March and May 2013, in the Southeast, Central, and North of Mexico	Completed
	1.H. Results disseminated in a web query system	GHG inventory for 1990-2010 publication will be uploaded to the INECC website by the end of August 2013. For the moment it is available in the Fifth National Communication at	Completed



		<a href="http://www2.inecc.gob.mx/publicaciones/consultaPublicacion.html?id_pub=685">http://www2.inecc.gob.mx/publicaciones/consultaPublicacion.html?id_pub=685</a>	
2. Sector, local and national impacts, vulnerability and adaptation policies and measures to address climate change, variability and extreme events have been assessed and adaptation activities, measures and programs implemented between 2009 and 2012 have been described	2.A. Generation of regional climate change scenarios at higher spatial resolution, applying dynamic downscaling	Several regional scenarios with a higher spatial resolution generated (these are available at <a href="http://www.inec.gob.mx">www.inec.gob.mx</a> )	Completed
	2.B. Assessment of impacts, vulnerability and adaptation programs and strategies implemented during 2009 to 2012	In-depth evaluation of impacts, vulnerability and implemented adaptation programs and strategies to address climate change, variability, and hydro-meteorological extreme events, at national and local level have been carried out successfully.	Completed
	2.C. Preparation of studies, and development of tools and methodologies, for the assessment of impacts, vulnerability and adaptation options, including its costs for some key sectors	Vulnerability Assessment Guide developed	Completed
	2.D. Preparation of a Portfolio of adaptation options by sector and human and natural systems, including the costs, feasibility and barriers for implementation	Pool of adaptation options prepared and implemented. A pilot project was carried out at the local community of El Gato, in the State of Guanajuato to harvest rainwater as an adaptation measure. A video documenting the process will be uploaded to the UNDP website in September 2013.	Completed
	2.E. Analysis of financial schemes for adaptation projects	Financial schemes for adaptation projects analyzed	Completed
3. GHG mitigation policies and	3.A. GHG mitigation policies and	GHG mitigation policies and measures reported in the 5NC	Completed

measures, implemented between 2009 and 2012 have been described and analyzed; GHG emission scenarios from sources and sinks have been generated; and potential future GHG mitigation options have been assessed, including their economic impacts	measures implemented between 2009 and 2012 at national, State and local levels		
	3.B. Assessment of GHG emissions scenarios from sources and sinks	An update of GHG emissions scenarios for thematic axes (energy, sustainable cities, land use) generated.	Completed
	3.C. Studies and analysis of potential future GHG mitigation policies and measures for key sectors	Studies and analysis for the evaluation of potential future sectoral mitigation policies and measures carried out successfully.	Completed
	3.D. Macroeconomic assessment of GHG mitigation measures	Macroeconomic impact of proposed GHG mitigation measures assessed	Completed
	3.E. Development of technology roadmaps for key sources and technologies	All the studies carried out included technology recommendations.	Completed
	3.F. Development of methodologies for GHG mitigation actions' Measurement, Reporting and Verification (MRV);	All mitigation studies included technology and MRV recommendations.	Completed
	3.G. Analysis of financial schemes for adaptation and mitigation projects.	Financial schemes for mitigation projects analyzed (energy, transport, fiscal, residual water, construction, bioenergy, agriculture).	Completed
4. National circumstances and national and regional development priorities as well as key additional	4.A. Report on national circumstances and national and regional development priorities to address	Report on national circumstances and national and regional development priorities updated for Fifth NC (until 2012)	Completed

information and the needs identified during the preparation of the NC updated from 2009 to 2012.	climate change		
	4.B. Report on key additional information relevant to the implementation of the Convention	Report on national circumstances and national and regional development priorities updated for Fifth NC (until 2012)	Completed
	4.C. Report on needs and constraints associated with the implementation of activities, measures and programs to implement the Convention	Report on national circumstances and national and regional development priorities updated for Fifth NC (until 2012)	Completed
	4.D. Report on financial resources and technical support for the preparation of NCs.	Report on national circumstances and national and regional development priorities updated for Fifth NC (until 2012)	Completed
5.Fifth national communication approved by the Inter-Ministerial Commission on Climate Change (CICC), published and information disseminated	5.A. Presentation of information contained in Fifth NC	The 5NC and the GHG inventory 1990-2010 has been presented to government and relevant stakeholders through regional events which took place in the beginning of 2013.	Completed
	5.B Publication and presentation of information contained in Fifth NC, and translation to English of the document.	Fifth National Communication has been finalized and published and INECC updated website. The Communication was presented in November 2012 in an event in Mexico City and formally presented in December 2012 during the 18th Conference of the Parties to the UNFCCC (Doha, Qatar). The 5NC and the GHG inventory 1990-2010 has been presented to government and relevant stakeholders through regional events which took place in the beginning of 2013. A special NC document for the general public has been prepared	Completed

		and will be available at the end of August in the website. Translation into English has been carried out.	
	5.C. Publication of a Special NC document accessible to the general public.	A special NC document for the general public has been prepared and will be available at the end of August 2013 in the website.	Completed
	5.D. Fifth National Communication has been translated into English		Completed

## Annex V: Stakeholder Participation in Workshops

1) Key stakeholder participation during Workshop held in Mexico, City the 4<sup>th</sup> of February 2011 and 19<sup>th</sup> of August 2011.

Sector											
Government		Academia		NGOs		International Organizations		Private Sector		Legislative	
Institution	pers.	Institution	pers.	Institution	pers.	Institution	pers.	Institution	pers.	Institution	pers.
CPCC-INE	4	UNAM-CCA	7	CESPEDES	4	PNUD	1			H- CONGRESO UNION- CAMBIO CLIMÁTICO	1
INE-PNUD	1	CIESCO-UNAM	2	CCMSS	2	AECID	2			H- CONGRESO UNION- MEDIO AMBIENTE Y RECURSOS NATURALES	1
INE	20	FAC. MED. UNAM	1	GLOBE MEXICO	1	ONU-HABITAT	1	CONCAMIN	2		
SEMARNAT	10	INSTITUTO ECOLOGIA UNAM	1	GREENPEACE	1	ALIANZA MEXICANA ALEMANA DE CAMBIO CLIMÁTICO	1	HOLCIM APASCO	2		
SENER	3	PUMA - UNAM	2	CEMIDA	1	BANCO MUNDIAL	1				
SER	1	POSGRADO DE INGENIERIA- UNAM	7	CTS	3						
SEGOB	1	FACULTAD PSIC. UNAM	1	FIDE	3						
SEDESOL	3	IPN	1	FUNDACIÓN PENSAR	1	BID	2				
SAGARPA	2	CMPL-IPN	1	FMCN	1	GIZ	3				
SCT	1	ITESM	2	REFORESTAMOS MEXICO	2						
INEGI	4	CENTRO MARIO MOLINA	2	CONSEJO CONSULTIVO DEL AGUA A.C.	1						
CONAGUA	5	IMP	3	COMUNICACION Y EDUCACION AMBIENTAL S.C.	1						
CONAFOR	3	COUPOS	1	IIE	2						
CECADESU	2	UAM	1	ENERGIA, TECNOLOGIA Y EDUCACIÓN S.C.	2						
CONANP	1	CMM	1	INSTITUTO MEXICANO PARA LA COMPETITIVIDAD AC	1						
CENAPRED	1	CIBNOR S.C.	2	BARZON	1						
CONAVI	1	COUPOS- TABASCO	1	PRONATURA MEXICO	2						
IMTA	3	UDG/ CCDS	1	WWF	1						
CRE	3	UIA- PUEBLA	1	IDEAS SUSTENTABLES	2						
INSP	2	IT DE DURANGO	3								
CONUEE	1										
SMN	2										
INIFAP	1										
UCPAST	1										
CFE/GPA	1										
PEMEX	4										
Gobierno Subnacional											
SEMAHN- CHIAPAS	2										
SERNAPAM- TABSCO	2										
GOBIERNO TABASCO	1										
<b>TOTAL</b>	<b>86</b>	<b>TOTAL</b>	<b>41</b>	<b>TOTAL</b>	<b>32</b>	<b>TOTAL</b>	<b>11</b>	<b>TOTAL</b>	<b>4</b>	<b>TOTAL</b>	<b>2</b>

Total Participation: 174 persons.

2) FNC Presentation Workshops, Northern Region, Key stakeholder participation. Workshops held in Tijuana, Mexico the 6<sup>th</sup> and 7<sup>th</sup> of March 2013.

Sector											
Government		Academia		NGOs		International Organizations		Private Sector		Legislative	
Institution	pers.	Institution	pers.	Institution	pers.	Institution	pers.	Institution	pers.	Institution	pers.
INE	4	UNAM	3	TERRA PENINSULAR - BC	2	PNUD	4				
Gobierno BC	12	UABC	7	COMISION DE COOPERACIÓN ECOLÓGICA FRONTERIZA COAHUILA	1						
GOBIERNO COAHUILA	3	CICESE	1								
GOBIERNO SONORA	2	COLEGIO FRONTERA NORTE	1								
GOBIERNO TAMAULIPAS	7	UNIV. POLITECNICA DE BC	1								
		CINBOR	2								
		COMISION DE COOPERACIÓN ECOLÓGICA FRONTERIZA COAHUILA	1								
		CIMAV CHIHUAHUA	2								
		UNIV. AUTONOMA TAMAULIPAS	4								
<b>TOTAL</b>	<b>28</b>	<b>TOTAL</b>	<b>22</b>	<b>TOTAL</b>	<b>3</b>	<b>TOTAL</b>	<b>4</b>	<b>TOTAL</b>	<b>0</b>		

Total Participation: 57 persons.

3) FNC Presentation Workshops, Southern Region, Key stakeholder participation. Workshops held in Campeche the 21<sup>th</sup> and 22<sup>th</sup> of March 2013.

Sector											
Government		Academia		NGOs		International Organizations		Private Sector		Legislative	
Institution	pers.	Institution	pers.	Institution	pers.	Institution	pers.	Institution	pers.	Institution	pers.
INECC	8	CIGERCC (CHIAPAS)	1	COOPERATIVA AMBIO SC (CHIAPAS)	2	PNUD	1				
GOBIERNO CHIAPAS	5	UNICACH (CHIAPAS)	3	ASOCIACION CULTURAL NA BOLOM (CHIAPAS)	1						
GOBIERNO Q.ROO	3	CINVESTAV	3	PRONATURA SUR (CHIAPAS)	1						
GOBIERNO YUCATÁN	4	CYCI	4	PRONATURA YUCATÁN	2						
GOBIERNO CAMPECHE	3	CEDESU-UAC CAMPECHE	4	AMIGOS SIAN KAÁN	2						
GOBIERNO TABASCO	1	ECOSUR CAMPECHE	6	PRONATURA SUR	1						
PROFEPA Q.ROO	4	UQROO	4								
AYUNTA. BACALAR	2	UA CAMPECHE	1								
PROFEPA CAMPECHE	3	UNACAR	1								
CECADESU CAMPECHE	2	UAC	3								
CONAGUA CAMPECHE	6	EPOMEX	1								
PESCA Y ACUACULTURA CAMPECHE	1	UACAM	1								
INIFAP CAMPECHE	1										
MUNICIPIO CARMEN	4										
MUNICIPIO CHAMPOTÓN	2										
MUNICIPIO CALAKMUL	2										
MUNICIPIO PALIZADA	2										
<b>TOTAL</b>	<b>53</b>	<b>TOTAL</b>	<b>32</b>	<b>TOTAL</b>	<b>9</b>	<b>TOTAL</b>	<b>1</b>	<b>TOTAL</b>			

Total Participation: 95 persons.