

2019

Project Implementation Review (PIR)

**Low Carbon Cities**

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# Basic Data

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| **Project Information** | |
| UNDP PIMS ID | 4778 |
| GEF ID | 5086 |
| Title | Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand |
| Country(ies) | Thailand, Thailand |
| UNDP-GEF Technical Team | Energy, Infrastructure, Transport and Technology |
| Project Implementing Partner | Government |
| Joint Agencies | *(not set or not applicable)* |
| Project Type | Full Size |

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| **Project Description** |
| The 11th National Economic and Social Development Plan (2012-2016) aims to move Thailand towards a low carbon and climate resilient society as one of its 6 development pillars. Important steps have been taken, but progress at the local level on low carbon urban developments is slow. This project therefore aims to strengthen the capacities and processes at local level for bottom-up integrated low carbon development planning and the implementation & sustainable management of low carbon development projects. The 4-year project will focus on low carbon urban systems, in particular waste management and sustainable transport, in 4 cities: Khon Kaen, Nakorn Ratchasima, Samui and Klaeng, while experiences will be shared with other cities to learn from. The project objective is to “promote sustainable urban systems management in Khon Kaen, Nakorn Ratchasima, Samui and Klaeng to achieve low carbon growth.” The objective will be achieved by removing barriers to adoption of low carbon development in cities in Thailand a) Low carbon sustainable urban development planning in 4 cities, which will enable them to formulate and implement low carbon sustainable urban development plans; b) Low carbon investments in 4 cities leading to more energy efficient urban systems, c) Financial incentives and institutional arrangements to increase volume of investments in energy efficient urban systems by government and private sector. It is estimated that the project direct GHG emissions reductions of 177,708 tons CO2e will be achieved by end of project. Over the lifetime of the technologies deployed with project support, cumulative direct emission reductions will be 1,359,852 tons CO2e. |

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| **Project Contacts** | |
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| Other Partners | *(not set or not applicable)* |

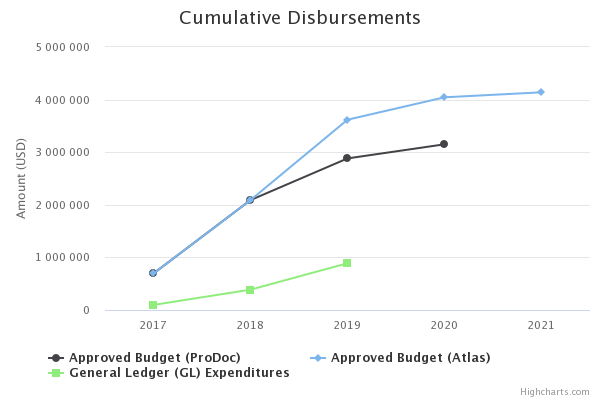
# Overall Ratings

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| Overall DO Rating | Moderately Satisfactory |
| Overall IP Rating | Moderately Satisfactory |
| Overall Risk Rating | Moderate |

# Development Progress

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| **Description** | | | | | | |
| **Objective**  **Promotion of sustainable urban systems management in Khon Kaen, Nakorn Ratchasima, Samui and Klaeng to achieve low carbon growth** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| Cumulative direct GHG emission reductions resulting from the technical assistance and investments by end-of-project (tCO2 eq.) | 0 | *(not set or not applicable)* | 177,708 | N.A (The set Year 1 target for the sole indicator of the Project Goal is 2,138 tons CO2. It should be noted that there was significant progress achieved in the implementation of the planned LC technology demos under the project. Two of the planned waste-to-energy (WTE) projects in 2 partner cities (KhonKaen and Nakhon Ratchasima) have been implemented and are now in operation. As part of the LCC Project, these will be monitored and evaluated, and the results disseminated. Also, the demo on city EE bus operation in Chiang Mai is already on. However, the estimation of the GHG emission reductions from these 3 LC technology projects that are attributable to the LCC Project is yet to be done. The GHG emission estimation methodologies are to be refined. The MRV methodologies for WTE and energy efficiency developed under Thailand Voluntary Emission Reduction (T-VER) scheme and CDM have been identified as potential methodologies. The entity that will conduct the emission reduction assurance will be selected by UNDP.) | 14,004.07 tCO2e (The set Year 2 target for the sole indicator of the Project Goal is 24,529 tons CO2). It should be noted that there was significant progress achieved in the implementation of the planned LC technology demos under the project. There are 15 projects are up and running and 3 studies which support future low carbon projects are on-going.  Total GHG reduction estimated above is solely from the WTE plant in Khon Kaen during 2017-2018. Ironically, the project received negative GHG reduction from the WTE plant in Nakhon Ratchasima. This because the ration of total carbon in the MSW and ratio of fossil carbon, in comparison to total carbon in MSW values of plastic/foam is very high as compare to other type of municipality waste. We decided not to include negative GHG reduction figure, however, the amount of waste utilized still be counted in the project.  The MRV frameworks for all types of activities are fully developed based on credible methodologies like CDM and Thailand Voluntary Emission Reduction (TVER) scheme. In addition to estimation of GHG emission reduction (tCO2e), co-benefits and SDG impacts were added into the framework.  Project emission baseline is under construction and validation. The entity that conduct the emission reduction assurance is selected by UNDP. |
| Cumulative direct fuel savings resulting from the technical assistance and investments in the transport sector in the 4 participating cities by EOP (GJ) | 0 | *(not set or not applicable)* | 788,093 | N.A (There is no set Year 1 target for this indicator of the Project Objective. Hence, there is no reported level of achievement. It should be noted, however, that there are 3 Project Board-approved demos under the LCC Project. These are: (1) Light Rail Transport (LRT) system in KhonKaen (obtained EIA approval and expected to start construction in late 2018; and, (2) EE City Bus in Chiang Mai.) | NA (The set Year 2 target for this indicator of the Project Objective is 101,693). The City Bus Project in Chiang Mai claimed a GHG reduction from the project of about 80,000 tCO2e per year and save gasoline and diesel of 36.73 and 20.94 million liters per year respectively, which was equivalent to 2,033,292.67 GJ.  However, the project emission baseline is under validation. Monitoring and reporting process are on-going.  There is a long delay for the Light Rail Transport (LRT) system in Khon Kaen due to a complicated process in getting construction permits and expected construction date is unpredictable. The Implementing Partner considers to drop this activity from the basket of demo projects during the mid-term review. |
| Annual amount of waste gainfully used (recycled, composted, anaerobically digested or for waste-to-energy) in the 4 participating cities by EOP (tonnes/year) | 46,272 | *(not set or not applicable)* | 389,352 | N.A. ( The amount of waste utilized as reported by the cities of KhonKaen and Nakhon Ratchasima was 176,156 tons/year. The pertinent activities of the project may have influenced the realization of this achievement as compared to the Year 1 target. Nonetheless, for the PIR 2018 reporting period, this amount has to be verified and will be reported accordingly in the next PIR reporting period (PIR 2019). For information, the amount of waste used in Nakhon Ratchasima in 2017 was 11,906 tons per year. As a demo under the LCC Project, 19,623 tons of cumulative waste anaerobically digested, 435,205 m3 biogas generated and 809,914 kWhe produced. Amount of waste used in KhonKaen in 2017 was 164,250 tons per year. Since the commissioning date, 272,250 tons of municipality waste was fed into the incineration and generated electricity. The kWh of electricity generated is yet to be quantified. There will be additional waste management demos in Samui and KhonKaen that will start implementation in Year 2 of the LCC Project.) | 425,659 tons per year (The set target for the second year is 154,956 tons). During 2017-2018, the amount of accumulated waste utilized in WTE plant as reported by the city Nakhon Ratchasima and Khon Kaen combined was 427,184 tons. Average waste gainfully used from the two cities was 213,593 tons per year.  For information,  Nakhon Ratchasima: The city employs the anaerobic digestion biogas technology for electricity generation by using a mix of old waste from the existing landfill site and new waste from the city. Waste consumption and kWh generated in 2017 and 2018 are as follows:  Year 2017: Waste (tons) 151,457, Electricity (kWh) 217,408  Year 2018: Waste (tons) 150,365, Electricity (kWh) 228,377  Total Waste (tons) 301,822, Total Electricity (kWh) 445,745    By product of the WTE’s biogas system was 675 tons of fertilizer for 2 years. High plastic/foam composition (32%) in the old waste and 25% in the new waste has resulted in negative GHG reduction units for 2017 and 2018. Emission was calculated to be 163,040.6 tCO2e.  Khon Kaen: The stack incineration WTE plant started commissioning in October 2016. Waste consumption and MWh generated in 2017 and 2018 are as follows:  Year 2017: Waste (tons) 61,655, Electricity (MWh) Own used 9,270, Electricity (MWh) To grid 32,402, Total Electricity (MWh) Own used and To Grid 41,672  Year 2018: Waste (tons) 62,182, Electricity (MWh) Own used 8,736, Electricity (MWh) To grid 37,145, Total Electricity (MWh) Own used and To Grid 45,881  Total 2017-2018 Waste (tons): 123,837  Total 2017-2018 Electricity (MWh) Own used: 18,006  Total 2017-2018 Electricity (MWh) To Grid: 69,547  Total 2017-2018 Electricity (MWh) Own used & To Grid: 87,553    Cumulative GHG emission reduction since the commissioning (Oct 2016- Dec 2018 are estimated to be 14,004.07 tCO2e.  GHG reduction units will be validated and assured by the third party in late 2019.  Samui: Equipment to manage coconut waste and organic waste from stores were delivered to the two participating waste management centers. 5,000 bottomless bins will be delivered to the participating households in the third quarter of 2019.  MRV framework for waste management was developed. |
| Total number of new green jobs created in the waste management sector and sustainable transport sector in the cities by EOP | 0 | *(not set or not applicable)* | 40 | N.A. (The KhonKaen WTE Plant reported 20 green jobs created. Attribution of this to the project will be verified and reported in the next PIR reporting period (PIR 2019).) | 20 (The KhonKaen WTE Plant reported 20 green jobs created.) |
| **The progress of the objective can be described as:** | | **On track** | | | | |
| **Outcome 1**  **Increased number of Thai cities that have formulated and implemented low carbon sustainable urban development plans** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of cities that have approved and adopted low carbon development plans by 2017 | 0 | *(not set or not applicable)* | 4 | N.A (Four city administrations agreed to integrate Low Emissions Development Strategy (LEDS) into their city planning process.) | 2 (The set target for Year 2 is 3). The City of Khon Kaen and Chiang Mai adopted the low carbon plan as part of their Smart City initiative. In addition to the plan, the City of Chiang Mai also adopts the demonstration city bus improvement project into its current municipality plan and allocated budget to support the development of the LCC plan.  As for Nakhon Ratchasima and Samui, the LCC project together with the cities are developing the low carbon plan. The stakeholder engagement process to prioritize measures will be conducted in the August 2019. Noted that, four city administrations agreed to integrate low carbon development plan that we are developing into their city planning process. |
| Percentage of participating cities where evidence-based low carbon planning is integrated with normal urban development planning processes by EOP | 0 | *(not set or not applicable)* | 100% | 0 - Relevant activities not yet scheduled for implementation | 40% (Target for Year 2 is 50%)– Chiang Mai and Khon Kaen have the Smart City plan, of which smart environment which include low carbon city is included. Chiang Mai city integrated the city bus project which is a part of the plan into its municipality plan and allocated budget for development of the low carbon city plan.  Khon Kaen has used the results from carbon city footprint as a tool for low carbon plan planning and is set as KPI of the city. |
| No. of cities which have completed carbon footprints in selected sectors and have institutionalized the process by 2018 | 0 | *(not set or not applicable)* | 4 | 0 (Four cities agreed to adopt the city carbon footprint (CCF) developed by the implementing partner, Thailand Greenhouse Gas Management Organization. This will be tailor-made to fit with local context and data availability. The CCF methodology developed by TGO complies with international standards and is currently used in several cities in Thailand.) | 4- (City carbon footprint (CCF) for all cities are completed, CCF manual is under the finalization process. Trainings for cities’ staff are completed. Rate of institutionalization varies from city to city. Khon Kaen is the most advance by setting CCF as its KPI and uses the results for further planning. The others start the institutionalization process through the City Working Group.  CCF in 2017 for the partner cities combined was 2.23 million TCO2e. The CCF was developed for 2013-2017 and projected to 2030to be in line with NDC.  For information: In 2017, CCF for Chiang Mai 543,624 tCO2e, Khon Kaen 413,481 tCO2e, Nakhon Ratchasima 480,959 tCO2e, Samui 790,988 tCO2e. |
| **The progress of the objective can be described as:** | | **On track** | | | | |
| **Outcome 2**  **Increased number of Thai cities with energy efficient urban systems** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| No. of low carbon demonstration projects implemented as a result of technical and investment assistance in participating cities by EOP | 0 | *(not set or not applicable)* | 19 | 3 (There were 3 out of 15 originally identified demonstrations under the LCC Project. These implemented demos are on WTE (Nakhon Ratchasima and Khon Kaen); and EE city bus system (Chiang Mai). Note that the low carbon demos that are part and parcel of the LCC Project are:  • Waste Management (WTE in KhonKaen, Nakhon Ratchasima; Waste recycling, composting and promoting of 3R in KhonKaen, Nakhon Ratchasima and Samui)  • Energy Efficiency (EE in waterworks system in Nakhon Ratchasima); EE in residential and commercial sectors in Nakhon Ratchasima)  • Transport (Light Rail Transport in KhonKaen; EE City Bus system in Chiang Mai)  All low carbon demos of the LCC Project were approved by the cities and the Board in February 2018.) | 17 projects (14 out of 15 demonstration projects and are on-going. 3 out of 3 studies are on-going). The low carbon demos and the studies that are part and parcel of the LCC Project). All 18 activities fall into 3 sectors:  1. Waste Management.  o WTE in KhonKaen, Nakhon Ratchasima. The WTE in Khon Kaen is contracted out to the private company. The WTE in Nakhon Ratchasima is invested by the city. The LCC project developed the MRV framework for both.  o Waste recycling, composting and promoting of 3R in KhonKaen, Nakhon Ratchasima and Samui. Incremental costs are funded by GEF in terms of technical assistance, equipment and the MRV system.  o Waste management at the airport in Samui. The LCC project plans to provide technical assistance using GEF fund. Activity is still to be confirmed.  2. Energy Efficiency  o EE in the waterworks system in Nakhon Ratchasima. The LCC project provided technical assistant by employing the EPANET v.2 developed by the US. EPA model to identify rooms for improvement in the water work plant and recommended 6 should be replaced by high-efficient motor (HEM). Both modelling and a replacement of two HEMs are funded by GEF. The other four will be funded by the city.  o Low carbon home manual in residential. This is a part of awareness activity. The manual is funded by GEF.  o EE buildings in Nakhon Ratchasima. Ten participating buildings include 6 shopping malls, 3 universities, 1 hospital. GEF funded energy audit and provided recommendations for improvement. We expect that the owners will invest in energy efficiency improvement as recommended.  3. Transport  o Initially, the LRT is planned. The LCC project, therefore, proposed to provide technical assistance to conduct a study on TOD in Khon Kaen. GEF funded the study to supplement the planned LRT.  o The City Bus system in Chiang Mai. This demonstrates efficiency of integrated transport management, energy efficiency, smart mobile application, e-ticketing and mode shift. This is to promote the use of public buses for local citizens and tourists. Bus operators and the government agencies relocated bus stops, re-routed, developed mobile application and to improve efficiency. Private buses are moving away from fossil fuels to EV and CNG. GEF funded the modelling work on rerouting and relocation of bus stops, the MRV framework as well as tracking equipment to be installed in the buses.  One demo project on waste management at the Samui International Airport is under discussion. The activity should be more cleared in the second half of 2019.  Given plastic waste shares significant portion in municipality waste and results in positive GHG emissions at the WTE plants as evidence in Nakhon Ratchasima. The LCC project recognizes a critical role of plastic waste in the city, we therefor are in partnership with CP All, parent company of 7 Eleven in Thailand, to launch 2 more activities in the 4 partner cities plus Phuket on single use plastic waste reduction and EE with 7-Eleven’s distribution centers. These two activities are on-going.  were approved by the cities and the Board in February 2019. |
| No. of low carbon projects designed based on or influenced by the results of the demonstration projects and the low carbon city plans by EOP | 0 | *(not set or not applicable)* | 8 | Relevant activities not yet scheduled for implementation | 5 (There are 3 low carbon projects identified and 2 are designed). The work plan will be designed in the third year based on influence by the results of the project: 1) waste management in the hotel sector in Samui 2) Plastic waste reduction in the 7-Eleven stores in four LCC partner cities and Phuket (new city), 3) EE in CP-All’s distribution centers in the project’s partner cities plus Phuket. CP-All is the parent company of 7-Eleven.  Two designed projects will be implemented soon: 1) organic waste management in restaurants and schools in Samui and replication to a nearby island, Pha-Ngan, 2) the new WTE with capacity of 400 tons of waste per day in Nakhon Ratchasima. The design and the feasibility study are completed. The City will open for bidding in 2019-2020. |
| **The progress of the objective can be described as:** | | **On track** | | | | |
| **Outcome 3**  **Increased volume of investments in energy efficient urban systems by government and private sector** | | | | | | |
| **Description of Indicator** | **Baseline Level** | **Midterm target level** | **End of project target level** | **Level at 30 June 2018** | **Cumulative progress since project start** |
| Total amount of new investment leveraged through local plans of participating cities for low carbon projects by EOP | 0 | *(not set or not applicable)* | USD 16 million | N.A | USD105.32. Of which 75.1 million is approved through the local plan and USD30.22 million has been invested in the WTE projects as detailed below.  • USD 30 million invested in the new WTE plant with a capacity of 600 tons per day by the City of Khon Kaen.  • USD215,384 invested in improvement in efficiency of the existing WTE plant by enhancing waste segregation efficiency and improvement of impeller efficiency in the biogas plant by the City of Nakhon Ratchasima. Note that capacity remains the same as 230 tons of waste per day |
| No. of new policies facilitating low carbon investments in cities endorsed and approved by line agencies by EOP | 0 | *(not set or not applicable)* | 2 | N.A | N/A |
| **The progress of the objective can be described as:** | | **On track** | | | | |

# Implementation Progress



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| Cumulative GL delivery against total approved amount (in prodoc): | 28.22% |
| Cumulative GL delivery against expected delivery as of this year: | 30.85% |
| Cumulative disbursement as of 30 June (note: amount to be updated in late August): | 889,000 |

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| **Key Financing Amounts** | |
| PPG Amount | 100,000 |
| GEF Grant Amount | 3,150,000 |
| Co-financing | 91,850,000 |

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| **Key Project Dates** | |
| PIF Approval Date | Nov 15, 2013 |
| CEO Endorsement Date | Apr 25, 2016 |
| Project Document Signature Date (project start date): | Apr 26, 2017 |
| Date of Inception Workshop | Jan 26, 2018 |
| Expected Date of Mid-term Review | Apr 26, 2019 |
| Actual Date of Mid-term Review | *(not set or not applicable)* |
| Expected Date of Terminal Evaluation | Jan 26, 2021 |
| Original Planned Closing Date | Apr 26, 2021 |
| Revised Planned Closing Date | *(not set or not applicable)* |

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| **Dates of Project Steering Committee/Board Meetings during reporting period (30 June 2018 to 1 July 2019)** |
| 2019-06-25 |

# Critical Risk Management

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| Current Types of Critical Risks | Critical risk management measures undertaken this reporting period |
| Operational | There were delays in the government and UNDP procurement process in acquiring service providers. The process is completed, and the service providers are contracted and have started working in September 2018.  There are some delays from the service providers who assist the partner cities to implement the low carbon demonstration projects, especially on the procurement process for equipment. Procurement of the tracking and e-ticketing for the city bus project in Chiang Mai is a case in point. Since the electronic ticketing system to be installed in the municipality’s buses is new to the city’s revenue department. It needs approval from the Department of Land Transport and the State Audit Office of the Kingdom of Thailand.  The preventive measures carried out to avoid the delay in the future is a preparation of the procurement plan which factors more process time in. |

# Adjustments

**Comments on delays in key project milestones**

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| **Project Manager: please provide comments on delays this reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If there are no delays please indicate not applicable.** |
| During the Inception is delayed because the long delay in approval from the GEF and the Thai Cabinet which resulted in changes in priorities and needs for the demonstration projects. Klang withdrew from the LCC project. Chiang Mai is added. The Implementing Partner, therefore, reassessed and identified demonstration projects to be subsumed under the demonstration. Given all 4 partner cities are scattered throughout the countries, it added more commuting time to discuss with them. Once the partner cities side is settled, then the Inception Workshop which covered the wider audiences was organized to hear more voices and opinions. Due to such changes, the inception phase was delayed.  During the implementation phase, the Thai Government announced the new Procurement Act (2017) which further added complication to the procurement process. Currently, the IP is acquainted to the new process. There were delays in acquiring service providers that support implementation of activities. The process was completed, and all the consultants are on board in September 2018. The preventive measures carried out to avoid the delay is a preparation of the procurement plan which factors more process time in.  Procurement of the tracking and e-ticketing for the city bus project in Chiang Mai is a case in point. Since the electronic ticketing system to be installed in the municipality’s buses is new to the city’s revenue department. It needs approval from the Department of Land Transport and the State Audit Office of the Kingdom of Thailand. The City is working out on this challenge. Lack of the electronic system is likely to affect accuracy of the estimates GHG emission reduction to some extent. However, it does not prohibit the project to perform a proper MRV. Plan B to identify alternative activity data for estimation is identified.  The MTR is expected to be in November-December 2019, after submission the second PIR. |

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| **Country Office: please provide comments on delays this reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If there are no delays please indicate not applicable.** |
| With exception to delays during the start-up of the project—the inception workshop was held nine months after the Project Document was signed—no further delays were identified in the key project milestones. The mid-term review is scheduled in November 2019 to allow more time for project outcomes/outputs to be realized. |

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| **UNDP-GEF Technical Adviser: please provide comments on delays this reporting period in achieving any of the following key project milestones: inception workshop, mid-term review, terminal evaluation and/or project closure. If there are no delays please indicate not applicable.** |
| There were delays in the project start-up. The project inception workshop was held 9 months after the Project Document signing. The late start was mainly caused by the delays in the setting up of the project manage office. The same reason caused the delays in the deployment of project staff to carry out the first project activities. |

# Ratings and Overall Assessments

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| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **Project Manager/Coordinator** | Satisfactory | *- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -* |
| Overall Assessment | For second year of implementation, the project overall performance is assessed to be satisfactory. The ground work has been paved for the activities to be carried out in Components 1.1, and 1.2, i.e., implementation in terms of both project organization & management and technical work. The project implementation was back on track after adjustments in the schedule and execution of activities to compensate for the major delays that were encountered in the procurement of service providers. The preventive measures carried out to avoid the delay is a preparation of the procurement plan which factors more process time in.  • Project organization and management: The Project Manager and Project Coordinators manage day-to-day operation and have built trust with the city partners, stakeholders, private partners and the implementing partners (TGO). The first-tier MOUs with the cities have been signed in the first year. In the second year, collaboration to promote the low carbon cities has been extended to cover private sector entities such as bus operators in Chiang Mai, local leaders and Bangkok Airways in Samui, private owners of shopping malls in Nakhon Ratchasima, and entrepreneurs in Khon Kaen.  • Technical work. Methodologies for CCF and MRV are completed. The low carbon plan for each city is drafted and will be through the stakeholder consultation process in the third quarter 2019. The city budgeting and planning process is investigated to ensure that the parts of whole low carbon city plan are integrated. The low carbon demonstration projects have been approved by the Cities and the Project Board. 17 demonstration activities are on-going.  • Partnership with the private sector is confirmed and contributes to project result framework on waste, energy consumption and GHG reduction. Rationales for collaboration are:  o CP All, parent company of 7-Eleven, focuses on single use plastic bags reduction in their convenient stores which will contribute to reduction of plastic composition in city waste.  o Federation of Business and Professional Women’s Association of Thailand (BPW Thailand). The project aims to broaden impacts and knowledge of low carbon city initiative by empowering women leaders to step up and address the issues.  o Building owners in Nakhon Ratchasima to promote energy efficient building because almost of electricity in the city is consumed by the commercial sector.  Delay in the first 1.5 years is caught up. Implementation is proceeding as planned with minor deviations in the second year. Activities are mostly on-track. Trust is built between TGO, UNDP, cities, the private sector and stakeholders. Estimates of GHG emissions seem to be very challenging from an emerging issue of negative emission reduction at the WTE plant in Nakhon Ratchasima. As of July 19, the cities estimate potential GHG reduction from the demo projects by EOP as follows:  • Chiang Mai 84,093 tCO2e  • Khon Kaen 27,193 tCO2e (reduce from the original estimate of 126,087 tCO2e due to significant lower GHG reduction from the WTE plant and the delay in getting permit to construct the LRT)  • Nakhon Ratchasima 10,680 tCO2e (excluding the WTE plant which generates negative reduction, however, the amount of waste utilized still counted as it contributes to the project objective)  • Samui 3,014 tCO2e  • Total estimates = 124,980 tCO2e, equivalent to 70% of the target of 177,708 tCO2e as stated in the ProDoc. Key critical factor is composition of municipality waste. The higher plastic composition, the lower GHG reduction because the baseline of the waste to energy project is dumping.  Waste used in the Waste-to-Energy Plants in two cities during 2017-2018 was 427,184 tons or average of 213,592 tons/year which was beyond Y2 Target.  With adaptive management in project implementation, the LCC project hopes to have positive GHG emission reduction figures from a joint activity with CP All on reduction of single-use plastic bags at 7-Eleven stores in the four partner cities plus one (Phuket). Importantly, the abovementioned figures need to be monitored and verified during the implementation period.  The progress, management and the attempt to catch up the delay triggered from the first year, development objective progress and partnership with the private sector is, therefore, rated at ‘satisfactory' | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **UNDP Country Office Programme Officer** | Moderately Satisfactory | Moderately Satisfactory |
| Overall Assessment | The project managed to resolve the project implementation delays as noted in the last PIR and put the project back on track. In this rating period, progress in achieving various indicators are noted in the project implementation.  • Seven indicator targets are on track toward the EOP achievement; one indicator has already been met (No. of cities with completed carbon footprints in selected sectors and institutionalized the process); one has been exceeded (direct fuel saving from TA/investment in the transport sector); and two have not started.  • City carbon footprints and the MRV frameworks were completed in all four project cities. Trainings are scheduled this year for city officers to understand these frameworks and utilize them in city planning.  • All four cities have agreed to integrate low carbon development plan into their city development plans whereas the low carbon development plans are being completed.  • 17 of the 18 anticipated low carbon projects are being implemented in all four cities whereas three more studies are being undertaken.  Several indicators do not have baseline numbers and the mid-term targets. It is advised that these numbers be set prior to start of the mid-term review exercise.  Some End-of-Project targets have already been met or exceeded. It is advised that a revision for these targets be made to reflect the realistic level of achievement to be attributed by the project.  The cumulative direct fuel saving from the technical and investment in transport sector in the four project cities (Objective-level indicator) is being accounted through transport-related activities in Chiang Mai and Khon Kaen. However, it is noted that not all four cities have focused activities in the transport sector. This needs to be reassessed.  During this rating period, the project manager has successfully fostered a private sector partnership with CP All (the sole operator of 7-Eleven stores in Thailand) which has committed resource to implement low carbon initiatives at its stores in the four project cities and Phuket.  There was an issue with the International Technical Advisor who was non-responsive to the PMU, produced poor quality of work with multiple delays during this period. Following advice from the PMU and UNDP contracting/legal teams, it was decided that his contract be terminated. Subsequently, the project had obtained support from TGO’s technical team to carry out the remaining tasks of the ITA while also saving project budget for implementing project activities—a commendable adaptive management by the PMU.  Given ongoing traction of the implementation, attention should be given to sustain and expand the low carbon city principle in other cities across the country.  On Implementation Progress, the cumulative delivery against approved budget (in Project Document) was reported at 30% while the project is reaching its mid-point later this year. While it is recognized that this is caused primarily by delays in the first nine months of this rating period, it is strongly advised that a prudent strategy be devised to accelerate project implementation and spending to reach at least 70% by the end of the next PIR. For these reasons, it is given ‘Moderately Satisfactory’ for this PIR period. | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **GEF Operational Focal point** | *(not set or not applicable)* | *- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -* |
| Overall Assessment | *(not set or not applicable)* | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **Project Implementing Partner** | Highly Satisfactory | *- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -* |
| Overall Assessment | The LCC Project has launched wide-ranging demonstrations in the four partner cities to reflect different priorities. The flagship demonstration projects have built in the momentum and attracted attention from various kinds of stakeholders, i.e. the Municipality Administration, governmental agencies, private companies, and the citizens. Partnership to support low carbon city and SDG is created. This attests to the fact that climate change mitigation and sustainable city can be organic grown and planned.  Partnership with the private sector catalyzes implementation of climate change mitigation initiatives. The LCC project has entered into partnership with CP All, the parent company of 7 Eleven in Thailand, the hotel association in Samui, the airlines and establish the Smart Mobility Alliance Network in Chiang Mai. We see more to come. Visibility is there and replication is in momentum.  The project runs smoothly and caught up the delay in the first 1.5 years. In addition, the LCC project fully supports TGO’s mandate on climate change mitigation, carbon business, city carbon footprint and curriculum development. TGO’ curriculums include city/national inventory, climate change mitigation, climate change adaptation, climate change and sustainable development, and climate change economic and finance. I, therefore, rate the progress of the LCC project as ‘highly satisfactory’. | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **Other Partners** | *(not set or not applicable)* | *- IP Rating provided by UNDP-GEF Technical Adviser and UNDP Country Office only -* |
| Overall Assessment | *(not set or not applicable)* | |
| **Role** | **2019 Development Objective Progress Rating** | **2019 Implementation Progress Rating** |
| **UNDP-GEF Technical Adviser** | Moderately Satisfactory | *(not set or not applicable)* |
| Overall Assessment | This is the second PIR report of this project.    The overall progress towards the achievement of the Project Objective during the PIR 2019 reporting period is considered “on track” but is rated MU. Based on the reported level of achievements, all the Year 2 targets of the indicators that manifest the promotion of sustainable urban systems management in the project cities (Khon Kaen, Nakorn Ratchasima, Samui and Klaeng) were exceeded. However, a caveat on this is the necessity of investigating and confirming the attribution to the project of the reported levels of achievement. Also, considering the reported levels of achievement in the success indicators in each project component, which in most cases didn’t meet the set Year 2 targets, the progress towards achieving the project objective is at best rated MS.    Component 1 of the project consists of 2 sub-components. For sub-component 1.1, which is on increasing the number of Thai cities that have formulated and implemented low carbon sustainable urban development plans, the Year 2 targets of 2 of the 3 success indicators were considerably not achieved while that for the other indicator was adequately achieved. On average, this translates to a MU performance. For Component 1.2, which is on increasing the number of Thai cities with energy efficient urban systems, the Year 2 targets of the 2 success indicators were achieved. Nonetheless, the project manager has informed that while the planned waste-to-energy (WTE) demos were implemented, the energy performance of these demos was not as per design particularly in terms of kWh electricity production per ton of waste used. There was also the issue of the discovery that a significant portion of the waste used is plastic. That resulted in the generation of CO2 from the supposed-to-be a demonstration of the cost-effective application of a low to no GHG-emitting technology. It’s quite alarming to note that the project manager expressed concern that the target GHG emission reduction from the WTE demos may no longer be achieved due to the high plastic and foam contents of the waste that are used. Adjustments in the operation of these demos should be made so as not to negate the GHG emission reduction that is supposed to be realized from them. The fact that the Year 2 targets of Component 1.1 were achieved, not considering the unexpected operational problems, the progress towards achieving the expected outcome under this component is on track and rated S. However, for Component 1, the overall progress of achieving the expected outcomes is on track, and is rated MS.    Component 2, which is on increasing the volume of investments in energy efficient urban systems by the government and private sector, has 2 success indicators but only one of these (i.e., total amount of new investment leveraged through local plans of participating cities for low carbon projects) has a set Year 2 target. During the PIR 2019 reporting period, that target was not achieved. The reason for this is because of the delays in the procurement process for recruiting service providers leading to the rescheduling of most of the Component 2 activities to the next PIR reporting period. Only some preparatory works were carried out during the current reporting period. While the progress towards achieving the expected outcome in Component 2 can still be considered on track, this is rated MU.    Most of the activities that were carried out during the PIR 2019 reporting period was on Component 1.1, and some on the incremental activities related to the demonstrations. The project’s cumulative general ledger expenses as of end PIR 2019 period was US$ 502,162.19, which translates to a 32.86% delivery against the project’s 2019 AWP. Overall, the project’s cumulative disbursement as of 30 Jun 2019 was US$ 889,000, which translates to a low 28.22% delivery against the projects total approved budget. With the levels of achievement of the Year 2 targets, the relatively low delivery rate midway of the project implementation period, delays and critical risks encountered during the reporting period, it is fair to conclude that the implementation performance is rated MS. | |

# Gender

**Progress in Advancing Gender Equality and Women's Empowerment**

This information is used in the UNDP-GEF Annual Performance Report, UNDP-GEF Annual Gender Report, reporting to the UNDP Gender Steering and Implementation Committee and for other internal and external communications and learning.  The Project Manager and/or Project Gender Officer should complete this section with support from the UNDP Country Office.

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| **Gender Analysis and Action Plan:** *not available* |
| **Please review the project's Gender Analysis and Action Plan. If the document is not attached or an updated Gender Analysis and/or Gender Action Plan is available please upload the document below or send to the Regional Programme Associate to upload in PIMS+. Please note that all projects approved since 1 July 2014 are required to carry out a gender analysis and all projects approved since 1 July 2018 are required to have a gender analysis and action plan.** |
| *(not set or not applicable)* |

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| **Please indicate in which results areas the project is contributing to gender equality (you may select more than one results area, or select not applicable):** |
| Contributing to closing gender gaps in access to and control over resources: No |
| Improving the participation and decision-making of women in natural resource governance: No |
| Targeting socio-economic benefits and services for women: No |
| Not applicable: Yes |

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| **Atlas Gender Marker Rating** |
| **GEN1:** some contribution to gender equality |

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| **Please describe any experiences or linkages (direct or indirect) between project activities and gender-based violence (GBV). This information is for UNDP use only and will not be shared with GEF Secretariat.** |
| *(not set or not applicable)* |

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| **Please specify results achieved this reporting period that focus on increasing gender equality and the empowerment of women.**    **Please explain how the results reported addressed the different needs of men or women, changed norms, values, and power structures, and/or contributed to transforming or challenging gender inequalities and discrimination.** |
| The LCC project confirmed a brief gender analysis in relation to the low carbon city initiative we conducted in the first year. The premise for gender analysis is that women can be key players to stimulate low carbon growth and bear costs of high GHG emissions. We found that female citizens can be victims of high GHG emission concentrations in ambient air and affect their livelihoods at the same level as other groups such as male citizen, the young and old regardless of education and status. On the other hand, women have power to support low carbon activities through influencing behavioral change such as the widespread practice of 3R, energy efficiency, and transport mode shift. Such change can lead to women earning more income if they live in conditions that characterize a pleasant city, with better traffic flow, widespread use of modern transportation, reduced waste generation, and with enough time available to spend with family. |

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| **Please describe how work to advance gender equality and women's empowerment enhanced the project's environmental and/or resilience outcomes.** |
| Experiences on low carbon activities initiated by businesses and professional women were shared during the implementation of project activities, mostly related to waste management:  • Outstanding Women Leaders for Green Growth Award initiated by BPW-Thailand in collaboration with the Project and UNDP CO awarded 8 women who have executed outstanding sustainable projects, including SDG # 11,12 and 13. This Award aims to recognize women leaders and their advocate to environmental issues. The activity included call for applications and awarded the outstanding women winners. Winners covered various sectors and innovation— environmentally friendly bank with products to promote environmental sound projects, waste management in the fresh market, hotel and wholesale, durian waste into organic cleaning agent, and waste recycling.  • The Project works closely with women leaders in Samui on waste management as well as retired women teachers. There are two projects. A) organic waste management in the hotel sector. One women hotel owner grouped approximately 15 green hotels together and created a buddy system which allows these hotels to pair up with other hotels to transfer knowledge and technic on organic waste management. With a multiplier effect, she hopes to engage up to 30 hotels by the EOP. B) Retired women teachers utilized their skills in teaching participating households on how to separate organic waste and compose it in the bottomless bins provided by the project. |

# Social and Environmental Standards

**Social and Environmental Standards (Safeguards)**

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 UNDP-GEF RTA should review to ensure it is complete and accurate.

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| --- |
| **1) Have any new social and/or environmental risks been identified during project implementation?** |
| No |

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| **If any new social and/or environmental risks have been identified during project implementation please describe the new risk(s) and the response to it.** |
| *(not set or not applicable)* |

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| **2) Have any existing social and/or environmental risks been escalated during the reporting period? For example, when a low risk increased to moderate, or a moderate risk increased to high.** |
| No |

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| **If any existing social and/or environmental risks have been escalated during implementation please describe the change(s) and the response to it.** |
| *(not set or not applicable)* |

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| **SESP:** *not available*  **Environmental and Social Management Plan/Framework:** *not available* |
| **For reference, please find below the project's safeguards screening (Social and Environmental Screening Procedure (SESP) or the old ESSP tool); management plans (if any); and its SESP categorization above. Please note that the SESP categorization might have been corrected during a centralized review.** |
| *(not set or not applicable)* |

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| **3) Have any required social and environmental assessments and/or management plans been prepared in the reporting period? For example, an updated Stakeholder Engagement Plan, Environmental and Social Impact Assessment (ESIA) or Indigenous Peoples Plan.** |
| No |

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| **If yes, please upload the document(s) above. If no, please explain when the required documents will be prepared.** |
| *(not set or not applicable)* |

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| **4) Has the project received complaints related to social and/or environmental impacts (actual or potential )?** |
| No |

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| **If yes, please describe the complaint(s) or grievance(s) in detail including the status, significance, who was involved and what action was taken.** |
| *(not set or not applicable)* |

# Communicating Impact

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| **Tell us the story of the project focusing on how the project has helped to improve people’s lives.**  **(This text will be used for UNDP corporate communications, the UNDP-GEF website, and/or other internal and external knowledge and learning efforts.)** |
| During this reporting period, there was very noticeable increase in interest and commitment of the city administration in the demo cities to support the low carbon city initiative, willingness to invest in the low carbon demonstration projects and integration of the low emission development plan into the city/municipality development plans. This was noted through the MOU between the cities and partners at all levels.  Equally, the LCC project has drawn attention from the private sector to participate in the activities to amplify impacts of greenhouse gas reduction and raise awareness such as 7-Eleven, Bangkok Airways, private bus operators, hotel association, shopping malls and resulted in MOU signing. Examples from the said private partnership has echoed to the public and further attracted more entities to discuss with UNDP for potential collaboration.    The Project collaborate with the Lee Kuan Yew School of Public Policy, National University of Singapore in providing project sites for their research project. The study on Achieving Low Carbon City in Asia: Promoting the Usage of Public Transport for Tourists in Chiang Mai conducted at the project site by a group of international students under co-supervision of the Project. The results are used as inputs for baseline assessment. |

**Knowledge Management, Project Links and Social Media**

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| **Please describe knowledge activities / products as outlined in knowledge management approved at CEO Endorsement /Approval.**    **Please also include: project's website, project page on the UNDP website, blogs, photos stories (e.g. Exposure), Facebook, Twitter, Flickr, YouTube, as well as hyperlinks to any media coverage of the project, for example, stories written by an outside source. Please upload any supporting files, including photos, videos, stories, and other documents using the 'file lirbary' button in the top right of the PIR.** |
| MOU signing in Chiang Mai  http://chiangrai.prdnorth.in.th/ct/news/viewnews.php?ID=190531173003  http://www.meedeemedianews.com/archives/4087  https://www.google.com/search?q=%E0%B9%82%E0%B8%84%E0%B8%A3%E0%B8%87%E0%B8%81%E0%B8%B2%E0%B8%A3%E0%B8%9E%E0%B8%B1%E0%B8%92%E0%B8%99%E0%B8%B2%E0%B9%80%E0%B8%A1%E0%B8%B7%E0%B8%AD%E0%B8%87%E0%B8%84%E0%B8%B2%E0%B8%A3%E0%B9%8C%E0%B8%9A%E0%B8%AD%E0%B8%99%E0%B8%95%E0%B9%88%E0%B8%B3%E0%B8%9C%E0%B9%88%E0%B8%B2%E0%B8%99%E0%B8%A3%E0%B8%B0%E0%B8%9A%E0%B8%9A%E0%B8%81%E0%B8%B2%E0%B8%A3%E0%B8%88%E0%B8%B1%E0%B8%94%E0%B8%81%E0%B8%B2%E0%B8%A3%E0%B9%80%E0%B8%A1%E0%B8%B7%E0%B8%AD%E0%B8%87%E0%B8%AD%E0%B8%A2%E0%B9%88%E0%B8%B2%E0%B8%87%E0%B8%A2%E0%B8%B1%E0%B9%88%E0%B8%87%E0%B8%A2%E0%B8%B7%E0%B8%99&ei=758sXZ\_OBMnrvgTB5ZCYCQ&start=80&sa=N&ved=0ahUKEwjfgZfborfjAhXJtY8KHcEyBJM4RhDy0wMIeQ&biw=1600&bih=723    MOU signing in Samui  http://thakhoei.go.th/networknews/detail/39231/data.html    Khonkaen Smart City  https://news.mbamagazine.net/index.php/business/new-news/item/1113-2018-09-19-05-23-10  https://www.salika.co/2018/09/17/khonkaen-smartcity-success-casestudy/    Low carbon building in Nakhon Ratchasima  http://koratcity.net/blogmunic/?p=4725    MOU with CP All  http://www.opt-news.com/news/7473  https://www.youtube.com/watch?v=LzH03B4OMp0  http://ns.dla.go.th/servlet/TemplateOrganizeServlet?organize=oig  https://www.matichon.co.th/news-monitor/news\_1582904  https://www.isranews.org/isranews-pr-news/78318-cpall-78318.html  https://news.ch7.com/detail/351860    https://www.cpall.co.th/news/%E0%B8%A5%E0%B8%94%E0%B9%83%E0%B8%8A%E0%B9%89%E0%B8%96%E0%B8%B8%E0%B8%87%E0%B8%9E%E0%B8%A5%E0%B8%B2%E0%B8%AA%E0%B8%95%E0%B8%B4%E0%B8%81/  https://www.smmsport.com/reader/news/257446  https://www.bangkokbiznews.com/news/detail/840327  http://www.komchadluek.net/news/economic/379400    Occasionally, activities were reported through UNDP Facebook and Twitter. |

# Partnerships

**Partnerships & Stakeholder Engagment**

Please select yes or no whether the project is working with any of the following partners. Please also provide an update on stakeholder engagement. This information is used by the GEF and UNDP for reporting and is therefore very important!  All sections must be completed by the Project Manager and reviewed by the CO and RTA.

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| **Does the project work with any Civil Society Organisations and/or NGOs?** |
| Yes |

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| **Does the project work with any Indigenous Peoples?** |
| No |

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| **Does the project work with the Private Sector?** |
| Yes |

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| **Does the project work with the GEF Small Grants Programme?** |
| No |

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| **Does the project work with UN Volunteers?** |
| No |

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| **Did the project support South-South Cooperation and/or Triangular Cooperation efforts in the reporting year?** |
| Yes |

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| **CEO Endorsement Request:** [PIMS 4778 THA LCC CER Doc\_resub\_FINAL 040416.doc](https://undpgefpims.org/attachments/4778/213549/1671090/1671395/PIMS%204778%20THA%20LCC%20CER%20Doc_resub_FINAL%20040416.doc) |
| **Provide an update on progress, challenges and outcomes related to stakeholder engagement based on the description of the Stakeholder Engagement Plan as documented at CEO endorsement/approval (see document below). If any surveys have been conducted please upload all survey documents to the PIR file library.** |
| Civil Society Organisations/NGOs  • The Federation of Business and Professional Women’s Association of Thailand (BPW Thailand), BPW-Thailand is the economy-wide chapter of an international NGO called BPW International with it's to promote gender equality, serve as a platform for exchange and cooperation, enhance women’s professional capabilities and global vision, and encourage their participation and attention on domestic developments and international affairs. The Project works closely with BPW-Thailand to promote and raise awareness of business and professional women in the participating cities, particularly on women’s empowerment to stimulate low carbon city initiative and participate in city-level mitigation actions as appropriate.  • Thai Hotel Association in Samui to conduct low carbon activities with a group of hotels in Samui.    Private Sector  • CP-ALL is one of the biggest companies in Thailand with various lines of business and a mother company of 7-Eleven in Thailand. The Project has entered into MOU with CP All to promote low carbon city focusing on plastic waste reduction, energy efficiency and campaign through their 7-Eleven and distribution centers.  • Bangkok Airways’ on waste management in their International Airport in Samui.  • Private bus operators such as Grab through the newly established Smart Mobility Alliance Network in Chiang Mai. The network is established under the LCC project’s initiation.  • Six private shopping malls on Khon Kaen on energy efficient buildings  • Khon Kaen City Development (KKTT) Co., Ltd. KKTT is a company of Khon Kaen people, it is the merger of all the leading businesses in Khon Kaen province, to develop their own infrastructure in the design and development of the city. The company initiated and supported as well as provided investment in the Light Rail Transit (LRT) system and other projects under the smart city vision. |

# Annex - Ratings Definitions

**Development Objective Progress Ratings Definitions**

(HS) Highly Satisfactory: Project is on track to exceed its end-of-project targets, and is likely to achieve transformational change by project closure. The project can be presented as 'outstanding practice'.

(S) Satisfactory: Project is on track to fully achieve its end-of-project targets by project closure. The project can be presented as 'good practice'.

(MS) Moderately Satisfactory: Project is on track to achieve its end-of-project targets by project closure with minor shortcomings only.

(MU) Moderately Unsatisfactory: Project is off track and is expected to partially achieve its end-of-project targets by project closure with significant shortcomings. Project results might be fully achieved by project closure if adaptive management is undertaken immediately.

(U) Unsatisfactory: Project is off track and is not expected to achieve its end-of-project targets by project closure. Project results might be partially achieved by project closure if major adaptive management is undertaken immediately.

(HU) Highly Unsatisfactory: Project is off track and is not expected to achieve its end-of-project targets without major restructuring.

**Implementation Progress Ratings Definitions**

(HS) Highly Satisfactory: Implementation is exceeding expectations. Cumulative financial delivery, timing of key implementation milestones, and risk management are fully on track. The project is managed extremely efficiently and effectively. The implementation of the project can be presented as 'outstanding practice'.

(S) Satisfactory: Implementation is proceeding as planned. Cumulative financial delivery, timing of key implementation milestones, and risk management are on track. The project is managed efficiently and effectively. The implementation of the project can be presented as 'good practice'.

(MS) Moderately Satisfactory: Implementation is proceeding as planned with minor deviations. Cumulative financial delivery and management of risks are mostly on track, with minor delays. The project is managed well.

(MU) Moderately Unsatisfactory: Implementation is not proceeding as planned and faces significant implementation issues. Implementation progress could be improved if adaptive management is undertaken immediately. Cumulative financial delivery, timing of key implementation milestones, and/or management of critical risks are significantly off track. The project is not fully or well supported.

(U) Unsatisfactory: Implementation is not proceeding as planned and faces major implementation issues and restructuring may be necessary. Cumulative financial delivery, timing of key implementation milestones, and/or management of critical risks are off track with major issues and/or concerns. The project is not fully or well supported.

(HU) Highly Unsatisfactory: Implementation is seriously under performing and major restructuring is required. Cumulative financial delivery, timing of key implementation milestones (e.g. start of activities), and management of critical risks are severely off track with severe issues and/or concerns. The project is not effectively or efficiently supported.