

Forest Carbon Partnership Facility (FCPF)

Readiness Fund

Monitoring and Evaluation Framework for the FCPF

7 June 2013

This document contains a revised version of the Monitoring and Evaluation (M&E) Framework for the FCPF. The draft M&E Framework, contained in FMT Note 2012-11 rev, was presented to the Participants Committee (PC) at its fourteenth meeting in Washington, March 2013 for its consideration and adoption on a no-objection basis. The framework was subsequently adopted on March 15, 2013.

This document was revised to align with the Readiness-Package Assessment Framework, as agreed at PC14.



FCPF Monitoring and Evaluation Framework

Prepared by
Alain Lafontaine, Baastel
Dietrich Busacker, ECO Consult
Cornelia Sepp, ECO Consult

7 June 2013

Table of Contents

ACRONYMS	2
1 INTRODUCTION	3
1.1 Background	3
1.2 Scope.....	3
2 PRESENTATION OF FCPF RESULT CHAIN AND LOGICAL FRAMEWORK	5
2.1 From the FCPF Objectives to a Chain of Results of FCPF	5
2.2 The Logical Framework of the FCPF - Basis for Performance and Impact Measurement.....	7
3 THE PERFORMANCE MEASUREMENT FRAMEWORK	21
4 DATA COLLECTION AND REPORTING FOR MONITORING	33
4.1 Existing Reporting mechanism to feed into the Facility Level Monitoring	33
4.2 Tools for Reporting	33
4.3 Timing and Frequency of Reporting.....	34
5 EVALUATION FUNCTION	34
6 ROLES AND RESPONSIBILITIES IN IMPLEMENTATION OF THE MONITORING AND EVALUATION FRAMEWORK	36
ANNEX A: KEY TERMINOLOGY	39
ANNEX B: PROPOSED FMT RESULT BASED MANAGEMENT ANNUAL REPORTING TEMPLATE (with semi- annual update).....	40
ANNEX C: ADDITIONAL GUIDANCE ON REPORTING TO INFORM FACILITY LEVEL PROGRESS INDICATORS .	44
ANNEX D: REDD + ANNUAL COUNTRY PROGRESS REPORTING (with semi-annual update)	45
ANNEX E: CAPACITY REQUIRED TO IMPLEMENT THE M&E FRAMEWORK	61

ACRONYMS

CF	Carbon Fund
COP	Conference of the Parties
CSO	Civil Society Organisations
DP	Delivery Partners
ER	Emission Reductions
ERPA	Emission Reductions Payment Agreement
ERPD	Emission Reductions Program Document
ER-PIN	Emission Reductions Program Idea Note
ESMF	Environmental and Social Management Framework
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
FMT	Facility Management Team
FY	Financial Year
GHG	Greenhouse Gases
GRM	Grant Reporting and Monitoring Report
I	Indicator
IP	Indigenous Peoples
LC	Local Communities
M&E	Monitoring and Evaluation
MTR	Mid-Term Review
OECD/DAC	Organization for Economic Cooperation and Development/Development Assistance Committee
PA	Participants Assembly
PC	Participants Committee
PMF	Performance Measurement Framework
REDD	Reduce Emissions from Deforestation and Degradation
REL	Reference Emission Level
RF	Readiness Fund
RL	Reference Level
R-Package	Readiness Package
R-PIN	Readiness Preparation Idea Note
R-PP	Readiness Preparation Proposal
SESA	Strategic Environmental and Social Assessment
TAP	Technical Advisory Panel
Tbd	To be determined
TORs	Terms of Reference
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change
WB	World Bank

1 INTRODUCTION

1.1 Background

The Forest Carbon Partnership Facility (FCPF) is designed to assist developing countries in their efforts to reduce emissions from deforestation and degradation (REDD). It serves two key purposes: to build capacity for REDD activities, and to test performance-based incentive payments in pilot countries. The Forest Carbon Partnership Facility (FCPF) is comprised of the Readiness Fund (RF) and the Carbon Fund (CF).

One of the first efforts at creating the basic building blocks for a draft Monitoring and Evaluation (M&E) Framework for FCPF took place at the time of the first evaluation of the FCPF. It included background information on the FCPF, its objectives and the relevant questions for the evaluation based on Organization for Economic Cooperation and Development/Development Assistance Committee (OECD/DAC) criteria of effectiveness, efficiency and relevance.

Following up on one of the recommendations of this first program evaluation of the Facility, PC11 mandated the preparation of a full M&E Framework for the FCPF, covering both the Monitoring and Evaluation functions. The draft framework was presented at PC13 in October 2012. This final draft of the framework is the outcome of the revisions made based on the feedback received after PC13, with a view to finalizing it by PC14 in 2013.

This paper starts with a description of the scope of the M&E framework. This is followed by a presentation of the main planning and management tools that are central in guiding and organizing the M&E function, namely the Results Chain and Logical framework (Chapter 2), and the Performance Measurement Framework (PMF) (Chapter 3). Chapter 4 then continues with a short description of the link between various internal reporting tools to be used to fulfill the monitoring function, while chapter 5 describes the evaluation function for the Facility. Chapter 6 of the report concludes with a discussion of roles and responsibilities of various actors in implementing this M&E Framework and the required capacity to ensure effective implementation.

1.2 Scope

The M&E framework is meant to encompass all key building blocks required for the effective monitoring and evaluation of the performance of the Facility as it evolves until 2020.

The monitoring function refers to the continuous process of performance reporting (annually with semi-annual update in the case of the Facility) and tends to limit itself to the assessment of the effectiveness and efficiency in program delivery (2 of the 5 DAC criteria). Monitoring therefore does not cover reporting against impacts, which are typically much longer term in scope.

The evaluation function takes place at set intervals (typically mid-term/phase and final evaluations). Evaluations take a bird's eye view, and cast a wider net covering all five OECD/DAC criteria to assess the Relevance, Effectiveness, Efficiency, Impact and Sustainability in program achievements. In doing so, they also assess governance and management systems, including the monitoring function itself.

The two central building blocks upon which this Facility level M&E framework rests are:

- **The Result Chain and Logical Framework:** which together provide a strategic overview of the FCPF and support decision-making by illustrating the main results to be achieved by the Facility at various levels, and their associated performance indicators. They provide a frame to focus both the monitoring and evaluation efforts at the Facility level.
- **The Performance Measurement Framework (PMF):** which is based on the Logical Framework, is the key internal management tool to be used by the Facility Management Team (FMT) to manage the collection, analysis and reporting on the performance data that must nourish the monitoring and evaluation functions. It captures key elements of expected results of the FCPF at the Facility level, by outlining proposed program indicators for each results level, targets, baselines, frequency of data collection, data sources and methods, as well as responsibilities for this data collection and consolidation.

Figure 1 below presents the building blocks of the M&E Framework in visual form, with the Logical Framework and the PMF at its center, with the regular FMT reporting (monitoring) and evaluation functions (independent) well indicated. The other secondary elements of the M&E framework, such as other internal reporting tools pictured in this diagram, are discussed in more detail later in this report.

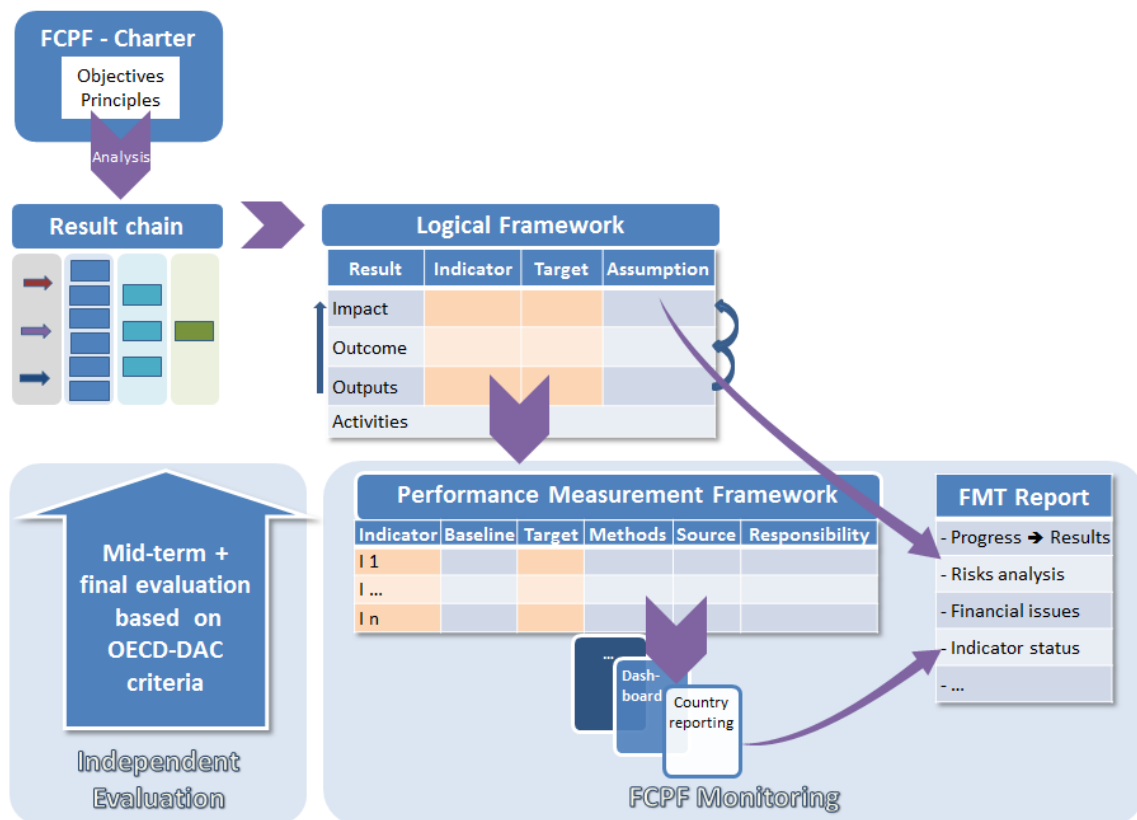


Figure 1: Overall design of FCPF-Monitoring and Evaluation Framework

This M&E Framework is meant to devise a structure and system to ensure that all key data required for monitoring and evaluating the overall performance of the Facility is collected,

analyzed and used in a way that helps ensure lesson learning and adaptive management at the Facility level.

This Facility level M&E framework is not meant to replace country specific monitoring and evaluation efforts as these have to be developed and implemented in each country to monitor and evaluate the performance in the implementation of their readiness grants and, ultimately, the performance of the pilots under the CF. It rather builds on them. Indeed, each country following the endorsement of its Readiness Preparation Proposal (R-PP) has its own set of country specific results that it must monitor and achieve to prepare for REDD+. The same will be true later of the pilots under the CF. This country and pilot specific performance must be monitored and evaluated at the country level to allow for proper adaptive management and lesson learning.

2 PRESENTATION OF FCPF RESULT CHAIN AND LOGICAL FRAMEWORK

2.1 From the FCPF Objectives to a Chain of Results of FCPF

A first step to approach the intervention logic of the FCPF consists in drafting a visual model of the expected results and how they are interwoven. These are directly derived from the four objectives defined in the FCPF Charter. As stated in its charter, the objectives of the FCPF are:

- a. To assist eligible REDD Countries in their efforts to achieve Emission Reductions (ER) from deforestation and/or forest degradation by providing them with financial and technical assistance in building their capacity to benefit from possible future systems of positive incentives for REDD;
- b. To pilot a performance-based payment system for ER generated from REDD activities, with a view to ensuing equitable sharing and promoting future large scale positive incentives for REDD;
- c. Within the approach to REDD, to test ways to sustain or enhance livelihoods of local communities and to conserve biodiversity; and
- d. To disseminate broadly the knowledge gained in the development of the Facility and implementation of Readiness Plans and Emission Reductions Programs.

The multi-level objectives of the FCPF-Charter need to be decomposed into their different operational and strategic elements in order to allow monitoring and evaluation. The following Figure 2 reconstructs the underlying result pattern of the four FCPF objectives. The four outcomes essentially align with the four FCPF objectives and represent the four main results for which the FCPF is jointly accountable with its partners and the Participant countries, while the outputs refer to the various building blocks, or shorter term results under the FCPF work agenda that together are seen as necessary to lead to these outcomes. As the Facility is principally focussing on laying the ground for future REDD+ activities and piloting performance based payment systems, one must be realistic in terms of the magnitude of impact to be expected under the FCPF by 2020. Therefore, the Result Chain distinguishes between intermediate impact of the FCPF that can still be attributed to the FCPF and longer-term global impact to which FCPF indirectly contributes via successful interventions, including its catalytic effects on other REDD+ initiatives. Global impact consists of emission reductions, the enhancement of livelihoods of forest-dependent communities and biodiversity conservation; but they are beyond what can be measured by a FCPF Monitoring and Evaluation framework, and most likely to materialize only after 2020.

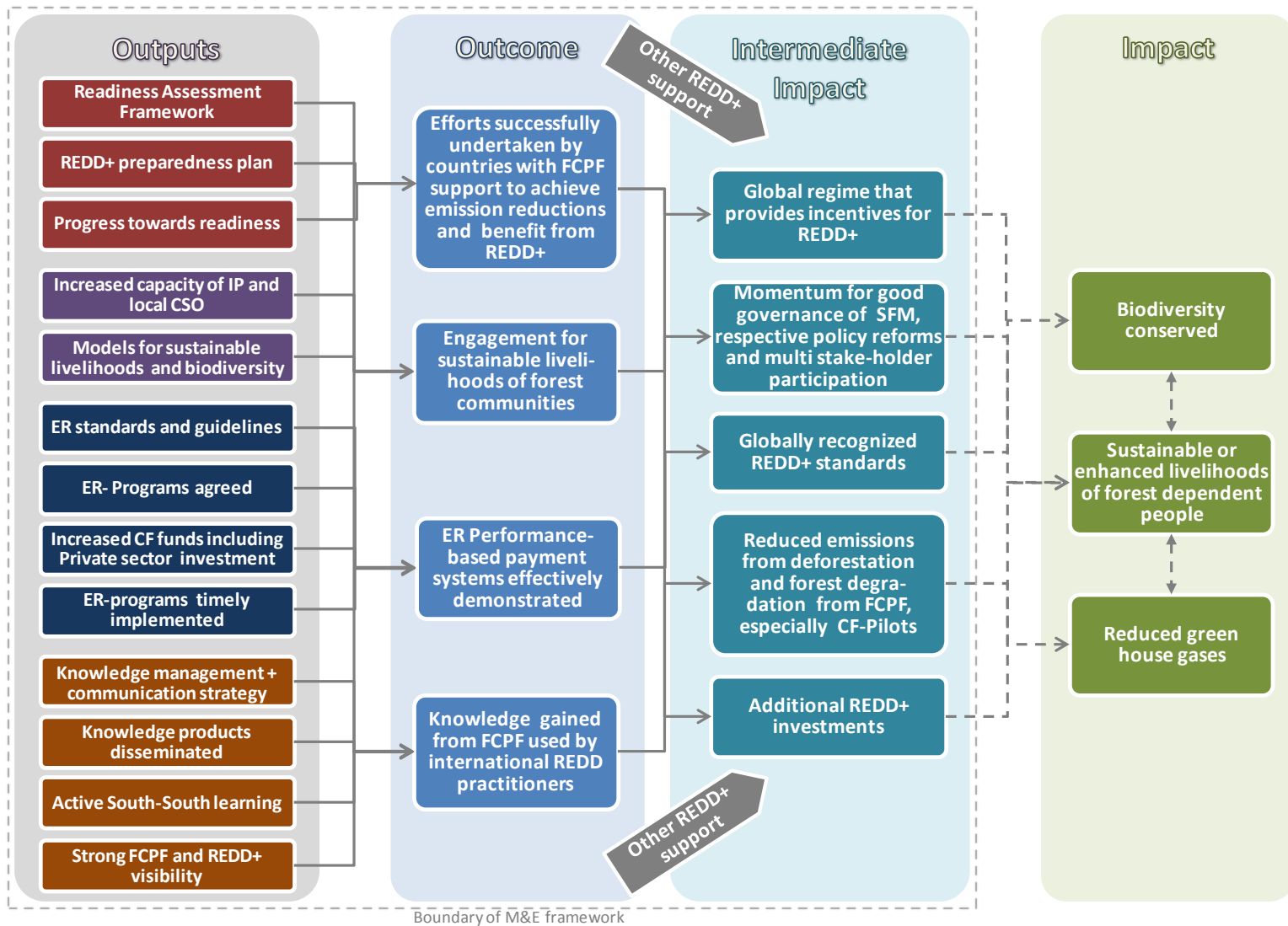


Figure 2: Result Chain of FCPF interventions

The graphic also takes into account eventual other inputs contributing explicitly or indirectly to the FCPF process like the UN-REDD Programme, the Forest Investment Program (FIP) or bilateral donor programs that have partially overlapping objectives with FCPF.

2.2 The Logical Framework of the FCPF - Basis for Performance and Impact Measurement

The next step towards an M&E Framework is the Logical framework (or short “Logframe”) as presented below in this section. It is derived from the Result Chain, taking into account comments from the Participants Committee (PC) received by the FMT on a previous version. The purpose of the Logframe is to serve as reference for operational planning, monitoring of progress of the Facility towards its objectives as well as for evaluation of its overall performance and impacts. The Logframe demonstrates how the inputs and activities which are delivered by different actors involved, interact logically, thus producing outputs, outcomes and finally direct intermediate impact (for M&E terminology see Annex A). As part of the M&E function, it is suggested to evaluate those intermediate impacts where the FCPF can directly contribute e.g. emission reductions of carbon dioxide due to ER-Programs in the Carbon Fund (CF) countries. It voluntarily excludes those global impacts like the improvement of rural livelihoods and biodiversity conservation to which the FCPF indirectly contributes, and which depend to a large extent on other factors. However, particular emphasis has been given to the catalytic effects of the FCPF such as the adoption of concepts developed by the FCPF by other initiatives/programs, the generation of additional funds for REDD+ or the contribution to the international negotiations process on REDD+.

For each impact, outcome and output, the Logframe contains specific, measurable, attainable, relevant and time bound, so called SMART indicators, wherever possible qualified by targets and values to be achieved between 2013 and 2020. Not everything that could be measured is targeted. Only those aspects that provide relevant information for performance measurement and steering of the FCPF are proposed as targets. Not everything can be monitored; some results and indicators are left for evaluation (see section 5) only.

The four formulated **outcomes** pick up on the objectives codified in the Charter, slightly reworded, where necessary. A specific intervention package with different outputs is linked to each of the outcome. The targets for indicators have been designed to ensure the results can be achieved within the 2020 lifespan of FCPF under the assumption of progress under diverse country circumstances and different country contexts.

Outcome 1, (Efforts successfully undertaken by countries with FCPF support) relates to the RF and its indicator measures to what extent REDD countries have made efforts with FCPF support to achieve emission reductions and to benefit from possible systems of positive incentives for REDD+. At the end of each readiness process, the progress of the readiness package of participating countries will be provided to the Participants Committee (PC) based on an assessment framework.

Outcome 2, (Piloting performance-based payment systems for emission reductions generated from REDD+ activities) relates to the CF. The formulation and ambitions are rather careful and mindful of the likelihood of future funding, limiting for the moment the number of countries

entering the CF portfolio to five countries by 2015, who will test performance based payment system by 2020.

Outcome 3, (enhancing livelihoods and conserving biodiversity) is designed to test models that help sustain or enhance livelihoods of local forest communities and simultaneously conserve biodiversity. This is an integral part of the REDD+ standards and a crosscutting issue for any REDD+ strategy and ER-program. In addition, a specific budget line under the RF called Indigenous Peoples, Civil Society and Local Community (IP, CSO, and LC) Program supports capacity building of IP, CSO and LC groups that also may strengthen active involvement of these important stakeholders in the national readiness processes.

Outcome 4, (disseminate broadly the knowledge gained in the development of the Facility and piloting) to conclude, is transversal to the previous outcomes and knowledge management activities grouped under this outcome, underlining the “learning-by-doing” character of the FCPF. It draws from the experience under the other outcomes and reinforces them.

The formulation of some of the outcomes is operational, while some of the outputs are quite process oriented. This reflects the fact that an inclusive multi-stage multi-stakeholder process is underlying the achievement of any outputs at the Facility level, clearly making the achievement of a given output the sum of a number of more concrete activities or building blocks.

Wherever possible, indicators have been formulated as composites integrating quantitative and qualitative elements (e.g. “number of endorsed readiness packages”). This is done under the assumption that the procedures for due diligence established will produce reliable results. This would considerably ease M&E effort at the central (FMT) level, but also implies that the respective structures of quality assurance at different levels (for instance the Technical Advisory Panel (TAP)) assume their roles. Wherever possible, indicators are gender differentiated, i.e. for outcome 3 and 4, meaning that information needs to be collected for both men and women. This gender differentiation implies that countries, in the development of their respective country level M&E frameworks and the reporting during the implementation of their R-PPs, must be mindful of the need to report on sex-disaggregated data and differentiated effects and impacts, whenever possible.

A simplified linear model is always limited when it comes to reflecting more complex non-linear realities, as is the case here. For instance, the sustained or enhanced livelihoods of local forest dependent communities can be seen as both a prerequisite and a consequence of successful ER schemes. Best practice from FCPF experiences can be used to attract additional funding that could be used to enlarge the number of countries in the CF portfolio.

As with all Logical Frameworks, it is not a static blueprint for implementation but a flexible tool that can be adjusted as progress is made and lessons are learned. Nevertheless, financing proposals for new activities should strive to demonstrate their link to the Result Chain and their value added to the performance of the Facility. In this sense, the Logical Framework acts as a tool to help set strategic priorities and make choices in terms of actions that keep the main objectives in focus. This is especially crucial for a fund that is dependent on voluntary contributions from various development partners; to bring them together around a set of commonly agreed expected results. Here the Logframe can provide guidance or serve as benchmark for setting priorities.

To conclude, the last column in this logical framework identifies the assumptions that underpin the intervention logic of the FCPF. This is crucial as such assumptions should also be monitored by the FMT, as work progresses, so that strategy and intervention can adapt to a changing global environment and negotiation context on REDD+. Many of the assumptions underline the interdependency of FCPF with the other international initiatives for REDD+ and sustainable forest management, which not only benefit from FCPF as a catalyst, but also provide incentives and the necessary momentum for the full success of the FCPF.

PROPOSED REVISED LOGICAL FRAMEWORK

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
Impact I.1	The FCPF has contributed to the design of a global regime under or outside UNFCCC that provides incentives for REDD+	<p>I.1.A. Actual design of the global regime that includes REDD+</p> <p>I.1.B. Examples of how FCPF learning and experience has fed into UNFCCC REDD+ decisions</p>	<p>I.1.A. REDD+ regime recognized globally</p> <p>I.1.B. Positive experiences feeding into the design of the global regime</p>	Global climate change negotiations under UNFCCC remain supportive
Impact I.2	Reduced emissions from deforestation and forest degradation from FCPF, especially CF portfolio countries	<p>I.2.A. Number of tons of CO₂ emissions from deforestation and forest degradation reduced in CF supported interventions</p> <p>I.2.B. Number of tons of CO₂ emissions from deforestation and forest degradation reduced in all FCPF supported countries</p>	<p>I.2.A. Tbd by ERPAs signed by 2015</p> <p>I.2.B. TBD from data available nationally on GHG emissions of countries</p>	
Impact I.3	FCPF has catalyzed the creation of recognized global standards for REDD+	<p>I.3.A. Examples of non-participant countries that have adopted FCPF standards in their own REDD+ process</p> <p>I.3.B. Common approach successfully implemented</p>	<p>I.3.A. No target applicable (n/a)</p> <p>I.3.B. Common approach to Environmental and Social Safeguards for Multiple Delivery Partners is implemented and examples/lessons learnt are used in standard setting for REDD+</p>	
Impact I.4	FCFP has catalyzed investment in REDD+ (CF, and grants)	I.4.A. Amount of non-FCPF investments under R-PP process in Participant countries and for implementation of ER Programs (e.g. FIP, bilateral donors, private sector)	No target applicable (n/a)	

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
		I.4.B. Examples of other mechanisms that have adopted and/or scaled up the approach piloted under FCPF		
Impact 1.5	The FCPF has generated momentum to address governance and transparency issues and policy reforms related to sustainable forest resource management and REDD+	<p>I.5.A. Degree to which decision making processes related to emission reductions and forest resource management in participant countries allow for active multi-stakeholder participation including CSOs, IPs and local communities</p> <p>I.5.B. Number of policy reforms initiated, completed or underway complying to REDD+ standards in Participants' country, potentially include issues of land tenure</p>	<p>I.5.A. Improved active multi-stakeholder participation</p> <p>I.5.B. n/a</p>	
Outcome 1	Efforts successfully undertaken by countries with FCPF support to achieve emission reductions from deforestation and/or forest degradation, and to benefit from possible future systems of positive incentives for REDD+ (Readiness Fund)	1.A. Number of Readiness Packages endorsed by PC. (R-Packages are in line with assessment framework)	1.A. 2 R-Packages by 2014 8 R-Packages by 2015 20 + R-Packages by 2018	<p>The incentives provided by REDD+ schemes are sufficient</p> <p>For purposes of Readiness Fund, submission of R-Package by REDD Participants is voluntary</p> <p>International negotiations for REDD+ remain supportive.</p> <p>There are no extraordinary circumstances in the country that prevent submission of RPs</p>
Output 1.1	Readiness Assessment Framework is agreed upon and disseminated	1.1. Existence of published assessment framework on readiness package	1.1. Assessment framework published following PC14 adoption	

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
<i>Output 1.2</i>	Countries demonstrate an adequate plan to achieve preparedness for REDD+ funding	<p>1.2.a. Number of R-PPs endorsed by PC</p> <p>1.2.b. Number of Readiness Preparation Grant agreements signed</p>	<p>1.2.a. 30+ R-PPs (by 2015)</p> <p>1.2.b. 30+ signed grant agreements by 2015</p>	Plans and targets were realistically assessed by technical experts before approval in view of existing baseline capacities and participant countries' contexts
<i>Output 1.3</i>	Countries progress adequately on implementation of their R-PP and Grant Agreements	<p>1.3.a. Number of mid-term progress (MTRs) reports presented by countries that follow agreed reporting standards and are presented in a timely manner</p> <p>1.3.b. Percentage of countries that are achieving planned milestones according to approved Readiness Preparation grant (>USD 3.4 m)</p> <p>1.3.c. Percentage of countries that are overall achieving planned milestones for sub component as per country - annual reporting scale Sub Component 1 to 9</p> <p>1.3.d. Percentage of countries with a</p>	<p>1.3.a. 20+ MTRs by (2015) 25+ MTRs by (2018)</p> <p>1.3.b. At least 60% of countries have performance that is satisfactory or above</p> <p>1.3.c.i. By 2015, 50% of countries implementing R-PPs have performance that is 'further development required' in 50% of sub components per R-Package Assessment Framework</p> <p>1.3.c.ii. By 2018, 100% of countries implementing R-PPs have performance that is 'progressing well' or above for 80% of sub components per R-Package Assessment Framework</p> <p>1.3.d. 60%</p>	The political and socio-economic context in the Participant countries remains stable enough over the implementation period so that the capacity built remains in place

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
		<p>disbursement rate that is in line with agreed Readiness Fund Preparation grant (>3.4 million USD)</p> <p>disbursement plans of grant agreement (up to 10% variance with plans)</p>		
<i>Activities</i>	<p>Under Output 1.1:</p> <ul style="list-style-type: none"> • Development of Readiness Package guidelines and Readiness Package assessment framework by PC14 (DP, PC) • Publication of guidelines for diffusion to the target audiences and stakeholders in the countries and at the global level 	<p>Under Output 1.2:</p> <ul style="list-style-type: none"> • Technical assistance and guidance to Countries in Readiness process (DP, FMT) • Preparation of R-PP Assessment Notes and other procedural requirements (DP, Country) • Meet procedural requirements and perform due diligence after R-PP assessment by PC (Country, DP) 	<p>Under Output 1.3:</p> <ul style="list-style-type: none"> • Implementation of grant funding according to agreement plan (or substantially equivalent readiness preparation performance by Countries regardless of the DP) • Grant supervision and country level review, related to environmental and social due diligence, procurement and financial management policies and procedures of the Delivery Partners and the Common Approach to Environmental and Social Safeguards (DP) • Direct implementation support, including technical assistance on R-PP implementation (DP) • Production of mid-term progress reports by countries (Country, DP) • Advice from FCPF on quality of progress reports (FMT, DP, PC) • Coordination actions with UN-REDD, FIP, and other international REDD Programs (FMT, Countries, DP, PC, TAP) 	

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
Outcome 2	Selected FCPF countries demonstrate key elements (carbon accounting, programmatic elements and pricing) of performance-based payment systems for emission reductions generated from REDD+ activities with a view to ensuring equitable benefit sharing and promoting future large-scale positive incentives for REDD+ (Carbon Fund)	<p>2.A. Number of pilots where carbon accounting, programmatic elements and pricing are operating as planned</p> <p>2.B. Number of pilots in which the benefit sharing scheme is being implemented according to plans</p> <p>2.C. Average % of monetary benefits shared with beneficiaries in approved pilots</p>	<p>2.A. A minimum of 5 (by 2017)</p> <p>2.B. All pilots that are operational with a minimum of 5 by 2017</p> <p>2.C. To be defined at the time of preparation of benefit sharing plans and ERPA signatures</p>	Interest in performance based payments remains high enough
<i>Output 2.1</i>	Standards and preparations in place for high-quality ER Programs discussed and endorsed by CF Participants and/or PC	<p>2.1. Number and types of standards and management tools discussed and endorsed by CF participants and/or PC for ER programs including:</p> <p>a) Methodological framework and Pricing Approach</p> <p>b) Business processes (ER-PD, ER-PIN, ERPA)</p> <p>c) Legal documents (General Conditions, ERPA term sheet)</p>	<p>2.1.a&b. Fully developed draft by CF7 and final version endorsed by CF8.</p> <p>2.1.c. Fully defined ERPA Term sheet by PC14 and General Conditions for ERPA endorsed by PC16</p>	
<i>Output 2.2</i>	Countries have entered into the portfolio of the Carbon Fund	<p>2.2.a. Number of early ideas or ER-Programs presented by countries to the CF</p> <p>2.2.b. Number of REDD countries that have signed ERPA</p>	<p>2.2.a. 10 by 2015</p> <p>2.2.b. A minimum of 5 countries by 2015</p>	A large enough number of countries have the capacity to meet all standards and FCPF/DP administrative processes do not put undue burden on the CF operation
<i>Output 2.3</i>	Increased levels of private sector investment for incentivizing, testing, and supporting up-scale of ER activities	2.3. Number of private sector participants in CF	2.3. 2 new private sector participants by 2014	The international momentum for REDD+ remains
<i>Output 2.4</i>	ER Programs are being implemented	2.4.a. Amount and date of disbursements	2.4.a. Amount of planned investment	

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
	in a timely manner	for ER Programs according to plans 2.4.b. Amount of ER purchases following ERPA signature	required as per ER-PD schedules 2.4.b. 10 M USD in FY 15 50 M USD in FY 16 70 M USD per annum in FY 17-19 85 M USD in FY 20	5 REDD countries have signed ERPAs by 2015 (see target for Output 2.2.b)
<i>Activities</i>	Under Output 2.1: <ul style="list-style-type: none"> • Development of Operational procedures, business process for ER Programs (FMT) • Technical review of methodology, pricing, etc. (FMT, PC) • Development of a working version of CF methodological framework and pricing approach adopted by PC in 2012 (FMT, PC) • Periodic updating of framework and pricing to reflect progress in UNFCCC process (PC, TAP, FMT) • Take on board feedback from pilots on integration of innovative approaches to benefit sharing in readiness planning and through ER Programs (FMT) 	Under Output 2.2: <ul style="list-style-type: none"> • Preparation of ER Programs (Countries, CF Participants, WB, FMT) • Preparation of ER-PIN according to standards for equitable sharing (Countries, CF Participants, WB, FMT) • Due diligence by WB on a number of ER-PINs submitted in preparation for ERPDS • Technical review of ER-PINs (TAP) • Development of activities to test equitable benefits sharing in accordance with FCPF safeguard guidelines and COP16 Decision, e.g. Forest Governance and Grievance Redress Mechanisms (Countries, DP) 	Under Output 2.3: <ul style="list-style-type: none"> • Dialogue, lessons sharing activities and development of knowledge products with potential financial partners (PC, FMT) • Interaction with, and marketing to the private sector (FMT) • Coordination with UN-REDD, FIP, and other international REDD programs (FMT, Countries, DP, PC, TAP) 	Under Output 2.4: <ul style="list-style-type: none"> • Required activities for implementation by countries • Pooling of investment by countries

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
Outcome 3	Engagement of all stakeholders (Governments, CSO, IPs, private sector and delivery partners) to sustain or enhance livelihoods of local communities and to conserve biodiversity within the approach to REDD+	<p>3.A. Design of national REDD strategies, monitoring systems and ER Programs addresses indicators for enhancement of livelihoods of local communities and for biodiversity conservation</p> <p>3.B. Actual examples on the inherent social and biodiversity benefits of REDD+ and how they are used to inform REDD+ Agenda and to scale-up results</p>	<p>3.A. All national REDD+ strategies, monitoring systems and ER-Programs incorporate indicators related to biodiversity conservation and forest community livelihood development</p> <p>3.B. International REDD+ Agenda by 2017 is informed by documented results from ER Programs.</p>	<p>The incentives provided by REDD + schemes are sufficient</p> <p>The climate for international negotiations for REDD+ remains supportive.</p>
<i>Output 3.1</i>	Enhanced capacity of IPs and CSOs to engage in REDD+ processes at the country level	<p>3.1.a. (i) Number and types of examples of in-country REDD+ actions where IPs CSOs, and local communities participate actively.</p> <p>3.1.a. (ii) Examples of resources made available to enable active participation of IPs, CSOs, and local communities in national REDD+ readiness.</p> <p>3.1.b. Number of IP and REDD country -CSO representatives (men/women and/or/youth) that have participated and benefitted from FCPF organized workshops/ trainings on SESA, governance, MRV aspects/related aspects of REDD</p> <p>3.1.c. Examples of IPs and REDD country-CSO representation in institutional arrangements for REDD+ at the</p>	<p>3.1.a.(i) Various new examples exist with strong evidence of IP and CSO active participation and broad community support in REDD+ programs / readiness by 2015</p> <p>3.1.a.(ii) Examples exist with evidence of resources being made available through national and/or bilateral support to IPs and CSO networks to enable active participation in national REDD+ readiness</p> <p>3.1.b. At least 20 men and 20 women and/or 20 youth reps. participated and/or trained per country, in a minimum of 15 participant countries by 2015</p> <p>3.1.c. Examples in all REDD Participant countries, of institutional arrangements for national REDD</p>	<p>Relevant guidelines in the Common Approach are followed and processes such as SESA are actually implemented in countries, providing for a receptive environment</p>

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
		national level	readiness where IPs and CSOs are represented	
<i>Output 3.2</i>	Pilots have been successfully implemented on ways to sustain and enhance livelihoods and conserve biodiversity	<p>3.2.a. Number of countries where stakeholder engagement platforms proposed in R-PPs have taken up work and meet regularly</p> <p>3.2.b. Number of countries with R-Packages and ER Programs submitted to FCPF that demonstrate:</p> <p>3.2.b.i. Ways to maintain or enhance livelihoods including at local levels are integrated into design of national REDD+ strategies, monitoring systems, and ER-Program design</p> <p>3.2.b.ii. Ways to conserve and/or restore biodiversity (fauna and flora) are integrated into design of national REDD+ strategies, monitoring systems, and ER-Program design, and take into account traditional knowledge</p> <p>3.2.b.iii. Relevant sustainability standards, as provided for in the Common Approach for Readiness preparation including those for grievance redress, and in the World Bank safeguards for ER-Programs, are applied</p>	<p>3.2.a. All countries that have signed Readiness grants</p> <p>3.2.b.i. 100% of all R-Packages and ER Programs implemented</p> <p>3.2.b.ii. 100% of all R-Packages and ER Programs implemented integrate best practices</p> <p>3.2.b.iii. 10+ countries by 2015 15 + by 2018 20+ by 2020</p>	
<i>Activities</i>	Under Output 3.1:	Under Output 3.2:		

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
	<ul style="list-style-type: none"> Provision of capacity building training Programs (FMT, DP) Participation by IPs and CSOs in capacity building programs (Observers, REDD Countries,) On-going management of Indigenous Peoples capacity building program on REDD+ (\$200k per year, for FY09-13)] 	<ul style="list-style-type: none"> Coordination of, and feedback on R-PINs, R-PPs and R-Packages Technical review of R-Packages (FMT, TAP) Provision of guidance on FCPF social and environmental due diligence (SESA guidelines, etc.) (FMT) Through the analytical work conducted in the SESA Identification of priorities and opportunities for enhancing livelihoods and conserving biodiversity and use of proven models and tools for the development of Emission Reduction Programs (Countries, DP) Coordination with UN-REDD, FIP, and other international REDD programs (FMT, Countries, DP, PC, TAP) 		
Outcome 4	Knowledge gained in the development of the FCPF and implementation of Readiness Preparation Proposals (under the Readiness Fund) and Emission Reductions Programs (under the Carbon Fund) broadly shared, disseminated and used by international REDD practitioners	<p>4.A. Number of new countries/stakeholders requesting to become FCPF:</p> <ul style="list-style-type: none"> - observers - members <p>4.B. Examples of utilization of/or reference to FCPF knowledge products</p>	<p>4.A. A number of new requests to become:</p> <ul style="list-style-type: none"> - country Observers (2015) - country Members (2015) <p>4.B. An increasing number of examples exist by 2015 and remains stable afterwards until 2020</p>	<p>The incentives provided by REDD + schemes are sufficient</p> <p>The international negotiations climate for REDD+ remains supportive</p>
<i>Output 4.1</i>	Knowledge products and lessons from piloting of REDD+ in general and FCPF activities in particular are developed and disseminated, in accordance with global knowledge management and communication framework strategy	4.1.a. Approved framework communication strategy for knowledge management and communication at the global level and up-to-date annual work plan for its implementation presented to the PC every year	4.1.a. Strategy approved by PC in FY 2013 Updated work plan presented to the PC every year	

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
	and annual work plans.	<p>4.1.b. Number of knowledge products distributed via workshops, publications, websites or other media</p> <p>4.1.c. Number of people reached, by type of knowledge product and type of audience (including website site counts)</p> <p>4.1.d. Examples of activities undertaken including at national level to generate and institutionalize awareness on REDD+ such as through inclusion of REDD+ in curricula in schools and universities</p>	<p>4.1.b. Tbd in strategy/work plan</p> <p>4.1.c. Tbd in strategy/work plan</p> <p>4.1.d. Tbd in strategy/work plan</p>	
<i>Output 4.2</i>	Participants actively engage in South-south-learning activities	<p>4.2.a. Number of S-S learning activities and/or events connecting FCPF countries¹</p> <p>4.2.b. Total number of participants to South-south knowledge exchange activities by category:</p> <ul style="list-style-type: none"> - REDD member countries (men/women) - non-REDD member countries (men/women) - IP/CSO representatives from region (men/women) - Private sector representatives from region (men/women) 	<p>4.2.a. Increase in 2013-14 - tbd in work plans</p> <p>4.2 b. Increase in 2013-14 - tbd in work plans</p>	Events managed directly by the countries (not organized by FMT itself) are timely and effectively planned to feed into the process of learning and involve all key stakeholders

¹ Including workshops, PC knowledge-sharing panels at the PC meetings, multi-stakeholder and public consultation of all key documentation

Level	Results	Indicators	Targets by 2020 (refer to end of FY unless otherwise stated)	Assumptions
<i>Output 4.3</i>	Strong visibility of REDD+ and FCPF	<p>4.3.a. Number of neutral/positive mentions of FCPF and REDD+ issues in different key media worldwide per X period</p> <p>4.3.b. Number of negative mentions of FCPF and REDD+ issues in different key media worldwide per year</p>	<p>4.3.a. Increase in neutral and positive mentions worldwide - tbd in work plans</p> <p>4.3.b. Decrease of negative mentions worldwide</p>	International momentum for REDD+ remains high enough to generate Media interest
<i>Activities</i>	<p>Under Output 4.1:</p> <ul style="list-style-type: none"> • Development of framework strategy (FMT) for knowledge management and communication at the global level and annual work plans • Analysis and capitalization for media on key REDD+ topics, lessons learned, and knowledge management (e.g., MRV, Reference Levels) (FMT at the global level; Countries at the regional and national levels, FMT) • Sharing of cross-country experiences, developing and sharing guidance documents (e.g., social inclusion, role of private sector) with individual REDD Country Participants (Countries, PC, FMT) • Development of initiatives to engage partners in dialogue on good practice in KM and global knowledge management (DPs, FMT) • Networking activities of FMT staff (e.g. coordination with UN-REDD, FIP etc. presentations held at non-FCPF conferences, participation in REDD+ workshops or related initiatives) <p>Under Output 4.2:</p> <ul style="list-style-type: none"> • Conduct of Global and Regional Dialogues with IPs (DPs, PC, Countries, Observers, FMT) • Completion of South-south-learning activities, • Organization of workshops, PC knowledge-sharing panels at the PC meetings, multi-stakeholder and public consultation of all key documentation, • Participation of FMT's in relevant international fora and expert meetings, • Use of PC members feedback to their own institutions are used as means to help disseminate the knowledge gained in the FCPF (DPs, PC, Countries, Observers, FMT) • Close coordination with UN-REDD, FIP, and other international REDD programs (FMT, Countries, DP, PC, TAP) <p>Under Output 4.3:</p> <ul style="list-style-type: none"> • Press releases • Marketing activities, • Etc. 			

3 THE PERFORMANCE MEASUREMENT FRAMEWORK

Building on the established results and indicators identified in the Logical Framework, the PMF is presented below. As indicated earlier, the PMF presents clear guidance on who collects data on what, against which targets, how, from where and at which frequency to inform both the monitoring and evaluation Functions at the Facility level. The last column of the framework indicates issues for which a traffic light system will be used in the FMT annual reporting and semi-annual updates.

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
<i>I.1. The FCPF has contributed to the design of a global regime under or outside UNFCCC that provides incentives for REDD+</i>						
I.1.A. Actual design of the global regime that includes REDD+	Development & Piloting	I.1.A. REDD+ regime recognized globally	UNFCCC decisions or other internationally binding decision tbd	All evaluations (2015, 2017 and 2020)	External Evaluators	
I.1.B. Examples of how FCPF learning and experience has fed into UNFCCC REDD+ decisions	n/a	I.1.B. Positive experiences feeding into the design of the global regime	Review of international literature and direct communication between FMT and other Carbon Funds Observation of COP process/ Analysis of COP Decisions and communication with UNFCCC and PC members	Annually & all Evaluations	FMT and Evaluators	
<i>I.2. Reduced emissions from deforestation and forest degradation from FCPF, especially CF portfolio countries</i>						
I.2.A. Number of tons of CO2 emissions from deforestation and forest degradation reduced in CF supported interventions	0	I.2.A. Tbd by ERPA signed by 2015	MRV system under pilot schemes	Once in 2020 Evaluation	External Evaluators	
I.2.B. Number of tons of CO2 emissions from deforestation and forest degradation reduced in all FCPF supported countries	0	I.2.B. TBD from data available nationally on GHG emissions of countries	Desk review of existing data from countries' GHG inventories etc.	annually & all evaluations	Countries	

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
<i>I.3. FCFP has catalyzed the creation of recognized global standards for REDD+</i>						
I.3.A. Examples of non-participant countries that have adopted FCPF standards in their own REDD+ process	n/a	I.3.A. n/a	Literature review and direct communication between FMT relevant countries	Every six months & all evaluations	Country reporting, consolidation by FMT and Evaluators	
I.3.B. Common approach successfully implemented	Concept	I.3.B. Common approach to Environmental and Social Safeguards for Multiple Delivery Partners is implemented and examples/lessons learnt are used in standard setting for REDD+	Partner reporting, independent evaluation	Annually & all evaluations	Evaluators FMT and Evaluators	
<i>I.4. FCFP has catalyzed investment in REDD+ (CF, and grants)</i>						
I.4.A. Amount of non-FCPF investments under R-PP process in Participant countries and for implementation of ER Programs (e.g. FIP, bilateral donors, private sector)	-	I.4.A. n/a	Literature review and direct communication between FMT relevant countries	Every year & all evaluations	Country reporting, consolidation by FMT, and evaluators	
I.4.B. Examples of other Carbon Fund mechanisms that have adopted and/or scaled up the approach piloted under FCPF	0	I.4.B. n/a	Review of R-PP and country reporting	Evaluations 2017 and 2020	Reporting by Countries, consolidation by FMT, evaluators	
<i>I.5. The FCPF has generated momentum to address governance and transparency issues and policy reforms related to sustainable forest resource management and REDD+</i>						
I.5.A. Degree to which decision making processes related	Level	I.5.A. Improved active	Review of country progress	Every six	Reporting by	


Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
to emission reductions and forest resource management in participant countries allow for active multi-stakeholder participation including CSOs, IPs and local communities I.5.B. Number of policy reforms initiated, completed or underway complying to REDD+ standards in Participants' country potentially include issues of land tenure	before R-PP process 0	multi-stakeholder participation I.5.B. n/a	reporting, GRM, and R-Package Review of country progress reporting, GRM and R-Package	months & all evaluations Once a year & all evaluations	countries, consolidation by FMT and Evaluators	
Outcome 1. Efforts successfully undertaken by countries with FCPF support, to achieve emission reductions from deforestation and/or forest degradation, and to benefit from possible future systems of positive incentives for REDD+ (Readiness Fund)						
1.A. Number of Readiness Packages endorsed by PC (R-Packages are in line with assessment framework)	0	1.A. 2 R-Packages by 2014 8 R-Packages by 2015 20+ R-Packages by 2018	Count from PC meeting proceedings; Dashboard	Every six months	FMT	
Output 1.1. Readiness Assessment Framework is agreed upon and disseminated						
1.1. Existence of published assessment framework on readiness package	0	1.1. Assessment framework published following PC14 adoption	List made from PC meeting proceedings, Review of posting of publications on website and through other means as relevant	Every six months	FMT	
Output 1.2. Countries demonstrate an adequate plan to achieve preparedness for REDD+ funding						
1.2.a. Number of R-PPs endorsed by PC	?	1.2.a. 30+ R-PPs by 2015	Count from PC meeting proceedings; Dashboard	Every six month	FMT	
1.2.b. Number of Readiness Preparation Grant agreements signed	7	1.2.b. 30 + signed grant agreements by 2015	Count from PC meeting proceedings; Dashboard	Every six months	FMT	

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
Output 1.3. Countries progress adequately on implementation of their R-PP and Grant Agreements						
1.3.a. Number of mid-term progress reports presented by countries that follow agreed reporting standards and are presented in a timely manner	1	1.3.a. 20+ MTRs by 2015 25+ MTRs by 2018	Review of annual report (GRM or DP equivalent) against country level performance targets as per Readiness Preparation grant approved	Every six months	Check list: FMT, PC, TAP	
1.3.b. Percentage of countries that are achieving planned milestones according to approved Readiness Preparation grant (>USD 3.4 m)	tbd	1.3.b. At least 60% of countries have performance that is satisfactory or above	Review of annual report (GRM) against country level performance targets as per Readiness Preparation grant approved	Every six months	FMT consolidate, Country semi-annual, and GRM annual reporting by DP	
1.3.c. Percentage of countries that are overall achieving planned milestones for sub component-as per country annual reporting scale Sub Component 1 to 9	tbd	1.3.c.i. By 2015 50% of countries implementing R-PPs have performance that is 'further development required' in 50% of sub components per R-Package Assessment Framework 1.3.c.ii. by 2018 100% of countries implementing R-	Review of annual country progress reports against country level performance targets as per R-PP approved	Compiled at the end of the year	FMT consolidate, Country semi-annual progress reporting	

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
1.3.d. Percentage of countries with a disbursement rate that is in line with agreed Readiness Preparation grant (>3.4 million USD) disbursement plans of grant agreement (up to 10% variance with plans)	tbd	PPs have performance that is 'progressing well' or above for 80% of sub components per R-Package Assessment Framework 1.3.d. 60%	Review of annual report (GRM) against country level performance targets as per RF grant approved	Annually	Data provided in DP GRM report and consolidated by FMT	
Outcome 2. Selected FCPF countries demonstrate key elements (carbon accounting, programmatic elements and pricing) of performance-based payment systems for emission reductions generated from REDD+ activities with a view to ensuring equitable benefit sharing and promoting future large-scale positive incentives for REDD+ (Carbon Fund).						
2.A. Number of pilots where carbon accounting, programmatic elements and pricing are operating as planned	0	2.A. minimum of 5 by 2017	Review of CF meeting proceedings and dashboard Pilot progress reports Final pilot reports	Every six months Evaluation 2017 and 2020	FMT External evaluators	
2.B. Number of pilots in which the benefit sharing scheme is being implemented according to plans	0	2.B. All pilots that are operational with a minimum of 5 by 2017	Pilot progress reports Final pilot reports	Evaluation 2017 and 2020	External evaluators	
2.C. Average % of monetary benefits shared with beneficiaries in approved pilots	0	2.C. To be defined at the time of preparation of benefit sharing	ER-Program documents	Every six months	Reported by pilot countries, consolidation	

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
		plans and ERPA signature			by FMT	
Output 2.1. Standards and preparations in place for high-quality ER Programs discussed and endorsed by CF Participants and/or PC						
2.1. Number and types of standards and management tools discussed and endorsed by CF participants and/or PC for ER programs including:						
2.1.a. Methodological framework and Pricing Approach	Partly defined	2.1.a&b. Fully developed draft by CF7 and final version endorsed by CF8 .	Review of PC and CF meeting proceedings and TAP reports	Every six months	FMT	
2.1.b. Business processes (ER-PD, ER-PIN, ERPA)	ER-PIN, ER-PD, ER-PA under development					
2.1.c. Legal documents (General Conditions, ERPA term sheet)	Term sheet and general conditions for ERPA under development	2.1.c. Fully defined ERPA Term sheet by PC-14 and General Conditions for ERPA endorsed by PC-16	Review of PC and CF meeting proceedings and TAP reports	Every six months	FMT	
Output 2.2. Countries have entered in the portfolio of the CF						
2.2.a. Number of early ideas or ER-Programs presented by countries to the CF	0	2.2.a. 10 by 2015	Count from CF meeting proceedings, and reported by countries in their semi-annual progress reports	Every six months	FMT, consolidated from country reporting	
2.2.b. Number of REDD countries that have signed ERPA	0	2.2.b. minimum of 5	Review of CF meeting	Every six	FMT, validated	

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
		countries by 2015	proceedings and TAP assessments	months	by TAP	
Output 2.3. Increased levels of private sector investment for incentivizing, testing, and supporting up-scaling of ER activities						
2.3.Number of private participants in CF	2	2.3.a. 2 new private sector participants by 2013	Review of CF meeting proceedings and FMT reports to PC	Every six months	FMT	
Output 2.4. ER Programs are being implemented in a timely manner						
2.4.a. Amount and date of disbursements for ER Programs according to plans	0	2.4.a. Amount of planned investment required as per ER-PA schedules	ER Program progress reporting	Every six months	FMT	
2.4.b. Amount of ER purchases following ERPA signature	tbd	2.4.b. 10 M USD in FY 15; 50 M USD in FY 16; 70 M USD per annum in FY 17-19; 85 M USD in FY 20	Review of CF purchases and financial reporting to PC	Every six months	FMT	
Outcome 3. Engagement of all stakeholders Government, CSO,IPs, private sector, delivers partners to sustain or enhance livelihoods of local communities and to conserve biodiversity within the approach to REDD+						
3.A. Design of national REDD strategies, monitoring systems and ER Programs addresses indicators for enhancement of livelihoods of local communities and for biodiversity conservation.	0	3.A. All national REDD+ strategies , monitoring systems and ER-Programs incorporate indicators related to biodiversity conservation and	Review of national strategies, monitoring systems and ER-Program agreements Country reporting	Every six months & all evaluations	FMT External evaluators	

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
3.B. Actual examples on the inherent social and biodiversity benefits of REDD+ and how they are used to inform REDD+ Agenda and to scale-up results	-	forest community livelihood development 3.B. International REDD+ Agenda by 2017 is informed by documented results from ER Programs.	Review of reporting by FMT, and countries, CSOs and IP representatives on actual case studies Reporting from DP's safeguards specialists involved in the due-diligence and supervision of Readiness Grants and ERPAs	Every six months & 2017 and 2020 evaluations	Country, CSO, IPs reporting: compiled by FMT, External evaluators	
Output 3.1. Enhanced capacity of IPs and CSOs to engage in REDD+ processes at the country level						
3.1.a. (i) Number and type of examples of in-country REDD+ actions where IPs and CSOs and local communities participate actively.	0	3.1.a. (i) Various new examples exist with strong evidence of IP and CSO active participation and broad community support in REDD+ programs / readiness by 2015	Country mid-term reports as well as reporting from IP and CSOs supported by Capacity building program	All: Every six months & all evaluations	All: Reporting by countries, CSOs and IPs: compilation by FMT External evaluators	
3.1.a. (ii) Examples of resources made available to enable active participation of IPs, CSOs, and local communities in national REDD+ readiness.	1	3.1.a.(ii) Examples exist with evidence of resources being made available through national and/or bilateral support to IPs and	Country mid-term reports, progress reports and reporting by CSOs, IPs and local communities			

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
3.1.b. Number of IP and REDD country CSO representatives (men/women and/ or youth) that have participated and benefitted from FCPF organized workshops/trainings on SESA, governance, MRV aspects/related aspects of REDD	Tbd	CSO networks to enable active participation in national REDD+ readiness 3.1.b. At least 20 men and 20 women and 20 youth reps. participated and/or trained per country in a minimum of 15 participant countries by 2015	Reporting from IP and CSOs, reporting from FMT and Delivery Partners			
3.1.c. Examples of IPs and REDD country-CSO representation in institutional arrangements for REDD+ at the national level		3.1.c. Examples in all REDD Participant countries, of institutional arrangements for national REDD readiness where IPs and CSOs are represented	Country reporting and reporting from IP and CSOs, and Delivery Partners			
Output 3.2. Pilots have been successfully implemented on ways to sustain and enhance livelihoods and conserve biodiversity						
3.2.a. Number of countries where stakeholder engagement platforms proposed in RPPs have taken up work and meet regularly	7	3.2.a. all countries that have signed Readiness grants				
3.2.b. Number of countries with R-Packages and ER Programs submitted to FCPF that demonstrate:		3.2.b.i. 100% of all R-				

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
3.2.b.i. Ways to maintain or enhance livelihoods including at local levels are integrated into the design of national REDD+ strategies, monitoring systems, and ER-Program design	tbd	Packages and ER Programs implemented	All: Review of Country progress reports, R-packages and ER Programs	All: Every six months & all Evaluations	All: Reporting by countries, Reviewed by TAP.	
3.2.b.ii. Ways to conserve and/or restore biodiversity (fauna and flora) are integrated into design of national REDD+ strategies, monitoring systems, and ER-Program and take into account traditional knowledge	tbd	3.2.b.ii. 100% of all R-Packages and ER Programs implemented integrate best practices			Assessment compiled by FMT External evaluators	
3.2.b.iii. Relevant sustainability standards, as provided for in the Common Approach for Readiness preparation including those for grievance redress, and in the World Bank safeguards for ER-Programs, are applied	1	3.2.b.iii. 10+ countries by 2015 15 + by 2018 20+ by 2020				
Outcome 4. Knowledge gained in the development of the FCPF and implementation of Readiness Preparation Proposals (under the Readiness Fund) and Emission Reductions Programs (under the Carbon Fund) broadly shared, disseminated and used by international REDD practitioners.						
4.A. Number of new countries/stakeholders requesting to become FCPF: - observers - members	0 0	4.A. Number of new requests to become: - country Observers - country Members	Dashboard; PC meeting proceedings	Once by PC14 in March 2013	FMT	
4.B. Examples of utilization of/or reference to FCPF knowledge products	0	4.B. An increasing number of examples exist by 2015 and	Direct communication with focal points, donors, UNFCCC, international	Every six months & All Evaluations	FMT and external evaluators	

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
		remains stable afterwards until 2020	organizations, academia, non-FCPF REDD countries, CSOs etc.			
Output 4.1. Knowledge products and lessons from piloting of REDD+ in general and FCPF activities in particular are developed and disseminated, in accordance with global knowledge management and communication strategy and annual work plans.						
4.1.a. Approved framework strategy for knowledge management and communication at the global level and up-to-date work plans for its implementation endorsed by PC	0	4.1.a. Framework strategy approved by PC in FY 2013 Updated annual work plan presented to the PC every year	Review of PC/PA proceedings	12/2013 annually	FMT	
4.1.b. Number of knowledge products distributed via, workshops, publications, websites or other media	-	4.1.b. TBD in strategy/work plan	Reporting and count from FMT	Every six months	FMT	
4.1.c. Number of people reached, by type of knowledge product and type of audience (including website site counts)	-	4.1.c. TBD in strategy/work plan	Reporting and count from FMT	Every six months	FMT	
4.1.d. Examples of activities undertaken including at national level to generate and institutionalize awareness on REDD+ such as through inclusion of REDD+ in curricula in schools and universities	-	4.1.d. TBD in strategy/work plan	Reporting and count from countries and FMT	Every year	FMT	
Output 4.2. Participants actively engage in South-south-learning activities						
4.2.a. Number of S-S learning activities and/or events connecting FCPF countries ²	-	4.2.a. Increase in 2013-14 - tbd in work plans	All: PC meeting proceedings; consultation and workshop meetings and proceedings	Every six months	FMT, CSOs and IPs: compilation by FMT	

² Including workshops, PC knowledge-sharing panels at the PC meetings, multi-stakeholder and public consultation of all key documentation

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
4.2.b. Total number of participants to South-south knowledge exchange activities by category: <ul style="list-style-type: none"> - REDD member countries (men/women) - non-REDD member countries (men/women) - IP/CSO representatives from region (men/women) - Private sector representatives from region (men/women) 	-	4.2.b. Increase in 2013-14 - tbd in work plans				
Output 4.3. Strong visibility of REDD+ and FCPF is achieved						
4.3.a. Number of neutral/positive mentions of FCPF and REDD+ issues in different key media worldwide per X period	n/a	4.3.a. Increase in neutral and positive mentions worldwide - tbd in work plans	Press reviews, web searches	annually	FMT	
4.3.b. Number of negative mentions of FCPF and REDD+ issues in different key media worldwide per year	n/a	4.3.b. Decrease of negative mentions worldwide				

4 DATA COLLECTION AND REPORTING FOR MONITORING

4.1 Existing Reporting mechanism to feed into the Facility Level Monitoring

A number of existing reporting channels must be tapped into as sources of information, in order to feed into the different elements of the monitoring reports from the Facility. The main ones, briefly presented below are the FCPF Dashboard and the National and Delivery partner reporting.

- ***Link to FCPF Dashboard***

The M&E framework is linked to the key milestones monitored for and recorded by the FCPF Dashboard. Outcome 1 corresponds to the activities and outputs tied to country preparations for the RF.

- ***Link to National and Delivery Partner Reporting***

PC and the Delivery Partners (DP) are expected to report on actions underway and completed for each phase of the readiness process and/or the readiness grant implementation, and each country and DP will build on a unique results framework in this regard. Supplementary to these existing steps is the collection of data pertaining to the global or Facility level results framework, as illustrated in the PMF. The mid-term progress reports from the countries will include information on some Facility-level PMF outcomes and output indicators that can only be informed from aggregated country level data. The FMT will then consolidate this country level reporting at the Facility level, to provide a global picture on performance. Guidance on how to ensure that the mid-term progress report agreed format is used in a way that ensures that this information is reported on by the countries has been developed to this effect and is presented in Annexes C and D.

- ***Link to Component 6 of the RPPs***

Given the significance of national reporting as a source of information for the FCPF global monitoring and evaluation framework, as participating countries develop and implement Component 6 under their RPP, care should also be taken to device national monitoring and evaluation frameworks that take on board the variety of indicators of progress presented in the global M&E Framework to build on this regular country reporting. This information will be of use not only to the FCPF at the global level in assessing its progress as a facility, but also to the countries themselves in assessing their progress towards readiness and the impacts of their work at the national level. The FMT and its DPs could envisage in this respect working closely with a few pilot countries, to demonstrate this full complementarity in reporting from the national level under Component 6.

4.2 Tools for Reporting

The key tool for Facility level reporting is provided in Annex B to this report, the **Template for FMT result-based management annual reporting to PC**. This format provides the structure for global results reporting of aggregate results collected by the FMT to the PC and Participants Assembly (PA), against the PMF targets that can be monitored and complements existing reporting by the FMT to the PC and PA through the dashboard and the Annual Report.

4.3 Timing and Frequency of Reporting

Countries will supply data for the global/Facility results framework through the mid-term progress reports. Delivery Partners will supply data through their annual Grant Reporting and Monitoring reports (GRM). FMT will report on an annual basis to the PC on the status of these and other performance indicators, with a semi-annual update. The PMF (Section 3) outlines the frequency of reporting for each indicator. It is expected that FMT will prepare one comprehensive annual report in October/November of each year and present progress over the previous fiscal year, while the semi –annual update will be prepared in time for consideration at the June Participants Committee meeting, and will include information on key indicators, to help inform the annual work planning and budgeting discussions for the Facility.

5 EVALUATION FUNCTION

The FCPF Charter (Article 17) requires that the Facility be subject to periodic evaluations. Integral to the FCPF M&E framework, evaluation constitutes an important complement to regular monitoring of the FCPF indicators discussed in the preceding section, which tends to focus more on effectiveness and efficiency concerns. Evaluations aim to provide findings, conclusions and recommendations that cover all OECD/DAC Evaluation criteria. However, especially in early phases of implementation of each fund (RF and CF), information on impact and sustainability tend to be scarcer. It is important to draw from each evaluation lessons from the past period for improvement of the next in respect to design and implementation of the FCPF. It should present a broad and representative perspective on the achievements and challenges in the FCPF, and forward strategic level recommendations on the continuation of the FCPF. Evaluations also provide a basis for accountability, including the provision of information to the public. Whereas monitoring is implemented by the FMT with input from its various partners in the FCPF, the evaluation process should be impartial and therefore undertaken by a team of independent evaluators, under the guidance of a transparent and balanced Steering Committee structure.

A first external evaluation was commissioned by the Participants Committee (PC) in 2010/2011 covering the first two years of FCPF operations. Given this early stage of the FCPF, the evaluation essentially focused on the process around the early stages of planning for Reduced Emissions from Deforestation and Forest Degradation (REDD+). The scope of the evaluation was limited to progress made under the RF as activities under the CF were not yet operational. The evaluation looked at the FCPF contribution at the country level (e.g. formulation of R-PPs and the country context, including the structure, functions and processes of each country's, "forest-relevant" system, as well as capacity and resources to formulate the R-PP) as well as the global level (effectiveness of the governance structure, functions, processes and impact drivers of the FCPF program as a whole). It assessed the FCPF directed resources to the activities that are most likely to contribute to REDD+ in the future, and drew some lessons for future work of the FCPF and REDD+ regimes in general. The OECD/DAC criteria of impacts and sustainability could not be targeted comprehensively, as these criteria can only be dealt with in a meaningful manner once readiness grants are disbursed and implementation work has actually started in countries on the basis of reference scenarios, monitoring, reporting and verification, and other building blocks of readiness.

It is foreseen under this M&E framework to conduct three more evaluations:

- The next evaluation in 2015 will cover to a large extent the activities under the Readiness Fund and the preparatory work and first operational activities under the CF. Originally it was planned to transition fully into CF operations in 2015 and to devolve readiness services. However, given the continuing interest of countries in the RF, and the somewhat slower progress than expected, this evaluation should forward a recommendation to stick to this decision or expand its management capacity to run both systems simultaneously. For the RF, the evaluation will assess all five OECD/DAC evaluation criteria (relevance, efficiency, effectiveness, impact and sustainability) with special emphasis on relevance (which is particularly pertinent considering the observed shift in patterns in the market for REDD since the inception of the fund) and impact and sustainability (which could not be adequately assessed in 2015 due to its early stage). The Terms Of Reference (TORs) for the evaluation should be developed by the FMT/TAP, under the guidance of a Steering Committee and approved by the PC, and should include assessments and judgments on structure, functions, processes and impact of the FCPF program as a whole at global level (including all impacts intended under the LF, as well as unintended impacts), the conduct of REDD+ activities and capacity development at country, including on SESA, the interaction between FCPF's global processes and implementation at country level (interface between global and country level) as well as, knowledge sharing at country, regional and global level for all aspects related to the readiness process.
- The assessment of implementation and outreach of the Common Approach is also to be covered by this evaluation. It should be coordinated with the respective proposal for an independent *"evaluation of piloting arrangement for the Common Approach under the direction of the PC and in cooperation with the Delivery Partners"* as included in Resolution PC/9/2011/1. A Steering Committee should ensure balanced representation of REDD countries, propose TORs, guide the entire process and ensure communication of the evaluation results to the PC. The final approval of the TORs and refinement of the scope of the evaluation will be left to the PC as the overall governance body of the FCPF.
- The following evaluation in 2017 will cover both funds (RF and CF) but mainly focus on the CF. For the CF this evaluation can serve as a mid-term review where first results of implementing activities and ERPAs are available and can influence the design and implementation of further CF-pilots. Relevance, efficiency and effectiveness will be the main criteria to assess in order to inform the FCPF management. Under the evaluation criteria of relevance, special consideration will be given to the shifts in trends in performance based payments; whereas the assessment of efficiency and effectiveness will include first lessons learned on implementing pilots with carbon accounting - and benefit sharing schemes. An important issue will be to include a sample of in-country case studies in order to independently review and complement the information provided by countries and Delivery Partners on the achievement of non-carbon (social and biodiversity) benefits..
- The final evaluation in 2020 will have one part focusing on CF activities, which should also assess impact and sustainability of the operation in the selected countries. The evaluation will also assess REDD readiness activities funded under the RF. Furthermore, it is supposed to summarize the evaluation results of all previous evaluations and forward overall lessons learnt for the FCPF and for REDD+. This evaluation will also

assess highly aggregated impacts in respect to (i) the reduction of CO2 emissions, (ii) the catalytic function of the FCPF to see if it was able to raise the interest and readiness for REDD+ and to trigger new investments and (iii) governance and transparency issues and policy reforms related to sustainable forest management. It will seek to learn lessons from this innovative experience aimed at developing a realistic and cost-effective new instrument for tackling deforestation. As with the 2017 evaluation, the final evaluation in 2020 would be under the guidance of a Steering Committee with TORs and scope to be approved by the PC.

The evaluations will build on their own sources of information and their own assessment, including a limited number of in-country visits. However, for the majority of the country level information meant to inform a number of indicators under this M&E framework, the evaluators will heavily rely on existing sources such as country progress reporting and country level evaluations. This includes the midterm progress report by the countries and annual GRM reports from the DP, the R-Package assessments under the RF, as well as yet to be fully defined progress reporting for the pilots under the CF. Quality of the evaluations depends on effective collection of valid and consistent monitoring data at the country level. In order to obtain valuable information, FMT has therefore to provide guidance on quality control for country level reporting. For each of the pilots it should be considered to support specific independent evaluations in addition to regular reporting. Timing for these evaluations of the pilots under the CF should be managed – as far as possible – so that their results can feed into the global evaluations proposed in 2017 and 2020 under this M&E framework.

If the evaluations are implemented in a coordinated and collaborative manner, including possibly with other initiatives and stakeholders at the country level, this can not only deepen and broaden the level and scope of analysis, but also promote dialogue and co-operation between the FCPF members through mutual sharing of experiences at all levels. In this way, it will contribute to the streamlining of fragmented efforts, act as a coordinating hub, and facilitate ownership.

The evaluation process must be as open as possible with the results made widely available. For evaluations to be useful, they must be used. To have an impact on decision-making, evaluation findings must be perceived as relevant and useful and be presented in a clear and concise way. They should fully reflect the different interests and needs of the many parties involved in the FCPF.

Feedback to both countries and the management structure of the FCPF is essential. In addition to the PA and PC and observers, the evaluations are of direct relevance to, the WB Management as a trustee, the DP under FCPF, and the broader REDD+ community. Easy accessibility is also crucial for usefulness. The web page will be a tool to this end.

6 ROLES AND RESPONSIBILITIES IN IMPLEMENTATION OF THE MONITORING AND EVALUATION FRAMEWORK

The PMF outlines the partners responsible for tracking and recording each performance indicator. For monitoring purposes, this data will be consolidated as relevant at the Facility level

by the FMT, and reported to the PC. Other data, especially at the impact level, is expected to be collected directly by the evaluation teams as part of the evaluation function just described in the preceding section. In order to ensure a successful implementation of the M&E framework, the following respective roles and responsibilities apply to FCPF participants and managers:

- **FMT:** The FMT will be responsible for ensuring the collection of data from all relevant partners and the periodic aggregation of these data for the purpose of annual progress reporting to the PC (with a semi-annual update). Outcomes 3 and 4, in particular will be informed by the FMT, as they track the number and proportion of countries testing Emission Reduction (ER) schemes and as they manage the development and publication of knowledge products. The FMT will need to establish a simple MS Access database and consolidate results collected on global indicators no fewer than 10 weeks in advance of each June PC meeting and then six months later, so as to inform in a timely manner its annual result-based progress reporting to the PC (Annex B). FMT will also have to ensure that the reporting from the countries and from DPs is of adequate quality and timely, and, as relevant, provide additional guidance to ensure the reporting standards are adequately followed and met so as to properly inform the M&E.
- **PC:** The PC will receive reporting from the FMT on the Facility performance in achieving results and milestones on an annual basis and serves as a forum for information and knowledge exchange around reported results. The PC's role is to ensure overall oversight over performance to ensure high-quality and timely results.
- **Countries:** FCPF countries will inform a few of the global indicators required for measuring aggregate level global results through their regular reporting activities. In the upcoming reporting cycles, data collected from each country will be especially important to inform REDD readiness progress under outcome 1, reporting on pilot test examples under outcome 3, and the dissemination and application of FCPF lessons and knowledge products under outcome 4.
- **IP and CSOs:** CSO will be active partners to the FCPF in capacity building and will have the task of reporting on examples of ways to improve the reach and quality of the program in the context of REDD preparedness. As part of their grant agreement for becoming recipients of capacity building funding, IPs and CSOs will report to the FMT on progress with workshops and trainings around the FCPF, as well as on the outcome of such trainings, in particular in terms of promoting their active participation in REDD+ processes in their country and at the regional level.
- **DPs:** DP of the Facility will help ensure FCPF funding is effectively and efficiency used, by implementing with partner countries their own annual result-based reporting using the GRM format and rating system, ensuring internal quality control on this reporting, as well as supporting high-quality mid-term and final progress and/or evaluation reporting by countries under the different windows of the Facility. DPs and member countries will work together to ensure timely reporting to the FMT so that the FMT can consolidate these values to report to the PC on a semi-annual basis. Independent evaluations at the country level are also expected to feed into the upcoming evaluations at the Facility level, as relevant.

According to the PMF, there are three groups of actors participating in ongoing M&E of the FCPF: the FMT, the client REDD Countries and their DP, and local CSO and IP while the PC, donors and the trustees are recipients of the information provided by the M&E system. Due to

the importance of quality reports for the proposed M&E Framework, particular attention should be given to equal application of criteria and standards as well as comparable use of formats. To assume their roles the different M&E actors need to dispose of certain capacities, both in terms of human resources and technical know-how. In addition, for quality control, the Technical Advisory Panel may support the FMT or provide direct feedback to the countries. A tentative assessment of the capacities needed by each actor and possible capacity building measures assuming the subsidiary principle that each level is only doing what the lower (or other) levels cannot do, is provided in Annex E

ANNEX A: KEY TERMINOLOGY

Activities	Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs (OECD 2010).
Evaluation	The systematic and objective assessment of an on-going or completed project, program or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability. It provides information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors (OECD 2010).
Impact	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
Indicator	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor (OECD 2010).
Logical framework (Logframe)	Management tool used to improve the design of interventions, most often at the project level. It involves identifying strategic elements (inputs, outputs, outcomes, impact) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of a development intervention (OECD 2010). Logical frameworks (Logframes) are the result of a planning process based on a Logframe analysis or following the so-called Logframe approach that uses different analytical tools for planning
M&E framework	A combination of all the tools and methods used to define the scope of monitoring and evaluation tasks and objectives for a program management team and its partners. It is often a guidance document comprised of details on reporting structures, responsibilities, and budget, shaped by the M&E framework (Logframe and/or PMF).
Monitoring	A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds (OECD 2010).
Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs (OECD 2010).
Output	The products, capital goods and services, which result from a development intervention; may also include changes resulting from the intervention, which are relevant to the achievement of outcomes (OECD 2010).
Performance Measurement Framework (PMF)	A plan for systematic collection of relevant data over the lifetime of a project/program to document and assess progress toward expected results. A PMF should be developed in collaboration with project partners and stakeholders, and is often depicted as a table with columns for expected results (outputs, outcomes, impacts), indicators (for each level of results), baseline data (starting point), targets (goals for each results level), data sources (how/where information can be gathered for each indicator), frequency (how often to record monitoring data), and responsibility (who is to collect data on each indicator) (CIDA 2011).
Results	The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention (OECD 2010).

Sources: OECD. 2010. *Glossary of Key Terms in Evaluation and Results Based Management*.

<http://www.oecd.org/dac/evaluationofdevelopmentprogrammes/2754804.pdf>;

CIDA. 2011. *Results-Based Management Tools at CIDA: A How-to Guide*. <http://www.acdi-cida.gc.ca/acdi-cida/ACDI-CIDA.nsf/eng/NAT-92213444-N2H>

ANNEX B: PROPOSED FMT RESULT BASED MANAGEMENT ANNUAL REPORTING TEMPLATE (with semi-annual update)

1. GENERAL INTRODUCTION

Introduction to the report, its main purpose and sections

2. PROGRAM OBJECTIVES

This section should present the goal and the objective of the FCPF, its expected impact(s), outcomes and outputs. It also summarizes who are the direct and indirect beneficiaries and present in one or two paragraph the Implementation approach

3. SUMMARY OF REPORT

This section will include a summary of progress, key achievements with a focus on higher-level results and important issues/problems that arose during the past year and highlights of next steps in following period.

4. MAIN ACHIEVEMENTS AND RESULTS DURING THE PERIOD

The section below should provide a detailed text on the progress towards expected results along the following subsections.

4.1 HIGHLIGHTS

4.2 PROGRESS AT THE IMPACT LEVEL (if any data available)

4.3 PROGRESS AT THE OUTCOME LEVEL

4.4 PROGRESS BY OUTPUT

5. ISSUES AND CHALLENGES

This section should present any problems or constraints faced by the FCPF and the FMT in making progress towards the intended results (outputs, outcomes and possible impacts) and their expected effect on the work plan. This is the opportunity to discuss any significant pitfall in the intervention logic between planned activities and output achievement, as well as between the sets of outputs and the planned outcomes at the Facility level that might explain why progress is not as planned on some outputs or on some outcomes.

6. MAIN LESSONS LEARNED AND CASE STUDIES

This section should be used to provide information on important lessons learnt. As this is an annual report, it is expected that this section will be fairly substantial, making reference to different lessons learning documents, events and/or knowledge products developed and dealing with issues of particular interest with respect to readiness of carbon funding under REDD+. This

is an opportunity to relate substantively to the knowledge management and communication strategy for FCPF and for the global REDD+ agenda, given the pilot nature of the Facility. It is also an opportunity to present some interesting case studies and/or success stories to bring out a qualitative narrative on particular cases or event where one can see achievements during the past 6 months or year in moving forward towards the expected outputs, outcomes and impact(s). This is meant to move beyond the set indicators and bring out other qualitative consideration in the result reporting. Ideally, case studies or success stories would gain being presented in a box format that can later be refined for communication purposes, as relevant.

7. MONITORING OF ASSUMPTIONS AND RISK

It is expected that the FCPF will monitor any changes in the assumptions that underpin its logic of intervention at the global level as presented in the revised LF and other significant risks that may arise. This section should explain through a narrative any changes in the level of risk associated with the different LF assumptions, or describe new risks that may have emerged and have a significant bearing on the work-planning of FCPF for the next year and beyond, along with the associated measures required to address this change in the context surrounding the Facility and its intervention logic. The following summary two tables should then be used to provide a detailed assessment of all assumptions from the LF and other risks that may have emerged during the six months, as relevant.

Original assumptions from LF	Original level of risk in LF	Updated level of risk	Explanation of variance	Mitigation measure proposed
–	Low	Medium	–	–
–	–	–	–	–
–	–	–	–	–
–	–	–	–	–
–	–	–	–	–

New risks identified that have a bearing on annual work planning and intervention logic	Mitigation measure proposed
1.	–
2.	–
3.	–

8. ACTIONS/DECISION TO BE TAKEN

Based on the reporting, especially under section 4, 5, 7 and 10, actions taken/proposals to overcome constraints/flaws/problems identified should be stated. Each problem/constraint should be stated as a separate point, along with associated proposed changes in work planning for the next six month/year to address it, as relevant.

The section should conclude with a list of points around which decisions/feedback from the PC is required, as relevant.

9. WORKPLAN FOR THE COMING PERIOD *(once a year, with potential to update every six months)*

This section should present the detailed work plan for the next reporting year by the FCPF. It should highlight upfront any major adjustments that had to be made.

10. FINANCIAL ISSUES

This section should present a summary of the financial management status and overall assessment of its coherence with the adopted financial plan for the year. It should highlight any important issue to tackle with respect to financial management and measures proposed. A summary table for the six-month period should be provided and could follow this structure:

Main budget categorical	Overall budget for program	Overall budget left at beginning of year	Planned disbursement for the reporting year	Actual disbursement for the six month period	% year actual vs. planned	Explanation of variance	Measures proposed

11. RESULT MEASUREMENT REPORTING FRAMEWORK

The annual report (with a semi-annual update) is an opportunity to report against the performance measures (indicators) established for each of the higher level results (activity reporting should be left to an accompanying activity report), to clearly focus the present report on progress towards Facility level expected results, which is different from progress in completing activities. The present reporting focuses on whether progress on activities is actually making a difference in moving forward towards the Facility expected results (i.e. is the intervention logic established between activities, outputs, outcomes and ultimately impacts actually valid). This systematic reporting against performance indicators should be summarized using the table below and the indicators listed in the PMF and agreed to for the program.

Outputs	Indicators	Milestone/Target (year)	Achievement of results and progress made to date	Variance (Explanation and key Issues)	Follow up (Priorities for the next period)
Expected Impact(s)					
1.	1.1				
	1.2				
	1.3				
Expected Outcomes					
1.	A.				
	B.				
2.	A.				
	B.				
3.	A.				
	B.				
4.	A.				
	B.				
Expected Outputs					

1.1	1.1.a
	1.1.b
	1.1.c
2.1	2.1.a.
	2.1.b.
Etc.	

ANNEX C: ADDITIONAL GUIDANCE ON REPORTING TO INFORM FACILITY LEVEL PROGRESS INDICATORS

Whereas the information for the indicators relating to outcome 1 and 2 are either available at the level of the FMT or included implicitly or explicitly in the existing format of the countries mid-term progress reports, reporting of the countries need to be detailed enough to provide supplementary information on progress towards all relevant outcomes. It is proposed to make sure that the following issues are included in the semi-annual country reporting, as well as CSO and IP reporting (current mid-term report and up-coming final reports under the RF and reporting under the CF):

- Progress towards R-PP outcomes (beyond activity and output reporting, report on progress towards the component objectives)
- Examples of active participation of IPs and CSOs in in-country REDD+ actions on enhanced livelihoods and biodiversity conservation (Indicator 3.1.a.)
- Participation of IP and CSO representatives who have been trained (number of men and women, satisfaction of the training as displayed in training session evaluation by participants), ((Indicator 3.1.b.)
- Implementation of pilots on ways to sustain or enhance livelihoods of local communities and to conserve biodiversity, specifically engagement of relevant stakeholders in implementation of national REDD+ readiness processes, testing ways to maintaining or enhancing livelihoods of local communities and conserving biodiversity, inclusion of SESA and advanced draft of ESMF (Indicator 3.2.)
- Number of South-South learning activities and/or events connecting FCPF countries such as workshops, knowledge-sharing panels, multi-stakeholder consultation, presentation material ((Indicator 4.3.a and b.)

Annex D - REDD + SEMI-ANNUAL PROGRESS COUNTRY REPORTING provides an enhanced template for country semi-annual reporting to the FMT.

ANNEX D: REDD + ANNUAL COUNTRY PROGRESS REPORTING (with semi-annual update)

COUNTRY: X
PERIOD: X

This country reporting framework has been developed following the structure of the FCPF Monitoring and Evaluation Framework, its logical framework and PMF, so as to facilitate and systematize the data analysis. The semi-annual country reporting should provide the FMT with indications of REDD+ countries' progress towards the achievement of their readiness activities and the implementation of their ER programs overtime, in a way that data are easily consolidated and provide indications on the level of achievement of the FCPF output, outcome and impact indicators as defined in the FCPF M&E Framework.

This suggested format below is an improvement over and replaces the national Readiness Progress Fact Sheets template that countries currently use to report progress before each PC meeting. This country reporting also builds on the structure and content of the R-PP template version 6 and its guidelines, and the R-Package Assessment Framework. A sample of assessed R-PPs and their Component 6 on M&E Framework and a sample of national Readiness Progress Fact Sheets have been reviewed as part of the development of this country reporting framework.

Submitted country reports should draw upon the country M&E system for REDD + (component 6 of R-PP) and should be prepared in consultation with members of REDD task force or equivalent body. Inputs from stakeholders including IPs and CSOs should be integrated into national reporting, and divergent views indicative of lack of consensus on specific issues should be recorded in the country report.

It is expected that the annual progress country reporting will be submitted to the FMT by August 30th each year. A self-assessment of progress will be conducted as part of this country reporting. An update of this country reporting will also be submitted by March 30th each year.

1. GENERAL INTRODUCTION

Introduction to the report, its main purpose and sections. Short description of FCPF support in country.

2. SUMMARY OF REPORT

Summary of progress, key achievements with a focus on higher level results and important issues/problems that arose during the reporting period. Highlights of next steps in following period (key bullets only)

3. MAIN ACHIEVEMENTS AND RESULTS DURING THE PERIOD

The section below should provide qualitative and quantitative data on the progress towards expected results along the following subsections. Information is to be provided cumulatively. If the information requested is not available or not relevant at the time of the reporting, mention "does not apply – n/a".

3.1 PROGRESS AT THE IMPACT LEVEL (if any data available)

Please provide here any quantitative and qualitative information, if available on the following criteria/indicators.

Number of tons of CO2 emissions from deforestation and forest degradation reduced in the country during the reporting period as compared to the measured REL/RL, if any (*FCPF M&E Framework Indicator I.1.B.*):

National Forest Reference Emission Level (REL)/Reference Level (RL) defined:

Number of tons reduced during the reporting period as compared to REL/RL:

Amount of non-FCPF investments received under R-PP process (*FCPF M&E Framework Indicator I.2.B.i.*):

Source:

Amount provided:

Source:

Amount provided:

Source:

Amount provided:

Amount of non-FCPF investments received for implementation of ER Programs (e.g. FIP, bilateral donors, private sector), if relevant (*FCPF M&E Framework Indicator I.2.B.i.*):

Source:

Amount provided:

Source:

Amount provided:

Source:

Amount provided:

Level of multi-stakeholder participation and engagement in decision making processes related to emission reductions and forest resource management (*FCPF M&E Framework Indicator I.3.A.*):

Please describe the process of engagement and consultation implemented:

Please describe the level of participation and engagement for the following stakeholder categories:

- Government Agencies:
- Indigenous Peoples:
- Other forest-dependent communities, if any:
- Women:
- Youth:
- CSOs:
- Private entities:
- Donors:
- Others, please specify:

Nb. and type of policy reforms initiated, completed or underway complying to REDD+ standards, if any (*FCPF M&E Framework Indicator I.3.B.*):

Number of policy reforms during the reporting period that are:

- Underway:
- Completed:

Please describe these policy reforms:

3.2 PROGRESS AT THE OUTCOME AND OUTPUT LEVEL

3.2.1. REDD Readiness Progress

- Outcome level

As a synthesis of the following output level assessments, please briefly describe here the progress made during the reporting period in developing the country Readiness Package (FCPF M&E Framework Indicator 1.A.):

Progress made during the reporting period in developing the country Readiness Package:

- Output level

Please indicate which of your country R-PP components and sub-components have received support from FCPF through the Readiness Preparation Grant (>3.4 million USD)

Components	Sub-components	Support from FCPF (Yes/No)
1. Readiness Organization and Consultation	1a. National REDD+ Management Arrangements	
	1b. Consultation, Participation, and Outreach	
2. REDD+ Strategy Preparation	2a. Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	
	2b. REDD+ Strategy Options	
	2c. Implementation Framework	
	2d. Social and Environmental Impacts	
3. Reference Emissions Level/Reference Levels		
4. Monitoring Systems for Forests and Safeguards	4a. National Forest Monitoring System	
	4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	

Level of implementation of R-PP³ as a whole:

Please describe the current R-PP implementation stage:

³ Please note that you will be able to assess progress on the implementation of RPP-P components and sub-components in table included in the following pages.

Level of achievement of planned milestones according to approved FCPF-financed Readiness Fund Grant (>3.4 million USD) (FCPF M&E Framework 1.3.b.):

Planned Milestones:	Level of Achievement ⁴ :	Tracking ⁵ :
		<p>Please select your light rating:</p> <p><input checked="" type="radio"/> Significant progress</p> <p><input type="radio"/> Progressing well, further development required</p> <p><input type="radio"/> Further development required</p> <p><input type="radio"/> Not yet demonstrating progress</p> <p><input type="radio"/> Non Applicable</p> <p>Please explain why:</p>

⁴ Countries are expected to provide data on the overall level of achievement of planned milestones as defined in their Readiness Preparation Grant Agreement, and, if applicable, on their Supplementary Grant Agreement for an additional grant of up to \$5 million. For instance, under their Preparation Readiness Grant Agreement (>3.4 million USD), Countries should provide data on (i) the support to the Coordination of the REDD+ Readiness Process and Multi-Stakeholder Consultations; (ii) the contribution to the Design of a National REDD+ Strategy; and (iii) the preparation of a National Reference Scenario for REDD+





⁵ The level of achievement of planned milestones according to approved RF grant will be summarized through progress scores related to the synthesis of an overall achievement, qualitatively expressed on a four-color 'traffic light' scale and then explained. In case the assessment is not applicable, a fifth color scale "Non Applicable" can be selected.

This 'traffic light' scale is based on the system contained in the R-Package Assessment Framework

Degree of achievement of planned milestones per R-PP component and sub-component (FCPF M&E Framework 1.3.c.).
 Countries are expected to rate progress toward the implementation of R-PP sub-component only once a year, as part of the reporting submitted by August 30th each year









	Sub-component	Overall progress		Progress against annual targets		Tracking ⁶ (Please select your light rating)
		Planned milestones	Cumulative Progress Towards Milestones	Expected Annual target	Achievements of the Annual target	
R-PP Component 1 – Readiness Organization and Consultation	Sub-Component 1a – National REDD+ Management Arrangements <i>Purpose: setting-up national readiness management arrangements to manage and coordinate the REDD-plus readiness activities whilst mainstreaming REDD-plus into broader strategies</i> <i>Assessment Criteria: (i) accountability and transparency; (ii) operating mandate and budget; (iii) multi-sector coordination mechanisms and cross-sector collaboration; (iv) technical supervision capacity; (v) funds management capacity; (vi) feedback and grievance redress mechanism</i>					<input checked="" type="radio"/> Significant progress <input type="radio"/> Progressing well, further development required <input type="radio"/> Further development required <input type="radio"/> Not yet demonstrating progress <input type="radio"/> Non Applicable Please explain why:





⁶ The level of achievement of planned milestones per R-PP component should be self-assessed and reported, as well as summarized through progress scores related to the synthesis of this overall achievement, qualitatively expressed on a four-color 'traffic light' scale and then briefly explained. In case the assessment is not applicable, a fifth color scale 'Non Applicable' can be selected. This 'traffic light' scale is based on the system contained in the R-Package Assessment Framework, The R-Package assessment criteria are included to assist countries identify, plan and track their readiness preparations progress with the core aspects and desired outcomes of readiness preparation activities as contained in R-Package Assessment Framework.

Sub-component	Overall progress		Progress against annual targets		Tracking ⁶ <i>(Please select your light rating)</i>
	Planned milestones	Cumulative Progress Towards Milestones	Expected Annual target	Achievements of the Annual target	
Sub-Component 1b – Consultation, Participation, and Outreach <i>Purpose: broad consultation with and participation of key stakeholders for future REDD+ programs, to ensure participation of different social groups, transparency and accountability of decision-making</i> <i>Assessment Criteria: (i) participation and engagement of key stakeholders; (ii) consultation processes; (iii) information sharing and accessibility of information; (iv) implementation and public disclosure of consultation outcomes</i>					<input checked="" type="radio"/> Significant progress <input type="radio"/>  Progressing well, further development required <input type="radio"/>  Further development required <input type="radio"/>  Not yet demonstrating progress <input type="radio"/>  Non Applicable <i>And explain why:</i>

	Sub-component	Overall progress		Progress against annual targets		Tracking ⁶ <i>(Please select your light rating)</i>
		Planned milestones	Cumulative Progress Towards Milestones	Expected Annual target	Achievements of the Annual target	
R-PP Component 2 – REDD+ Strategy Preparation	Subcomponent 2a: Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance <i>Purpose: identification of key drivers of deforestation and/or forest degradation, as well as activities concerning conservation, sustainable management of forests, and enhancement of forest carbon stocks</i> <i>Assessment Criteria: (i) assessment and analysis; (ii) prioritization of direct and indirect drivers/barriers to forest enhancement; (iii) links between drivers/barriers and REDD+ activities; (iv) actions plans to address natural resource right, land tenure, governance; (v) implications for forest law and policy</i>					<input checked="" type="radio"/> Significant progress <input type="radio"/> ⚠ Progressing well, further development required <input type="radio"/> Further development required <input type="radio"/> ✖ Not yet demonstrating progress <input checked="" type="radio"/> N/A Non Applicable <i>And explain why:</i>
	Subcomponent 2b: REDD+ Strategy Options <i>Purpose: Develop a set of policies and programs for addressing the drivers of deforestation and/or forest degradation</i> <i>Assessment Criteria: (i) selection and prioritization of REDD+ strategy options; (ii) feasibility assessment; (iii) implications for strategy options on existing sectoral policies</i>					<input checked="" type="radio"/> Significant progress <input type="radio"/> ⚠ Progressing well, further development required <input type="radio"/> Further development required <input type="radio"/> ✖ Not yet demonstrating progress <input checked="" type="radio"/> N/A Non Applicable <i>And explain why:</i>

Sub-component	Overall progress		Progress against annual targets		Tracking ⁶ (Please select your light rating)
	Planned milestones	Cumulative Progress Towards Milestones	Expected Annual target	Achievements of the Annual target	
Subcomponent 2c: Implementation Framework <i>Purpose: Set out credible and transparent institutional, economic, legal and governance arrangements necessary to implement REDD+ strategy options</i> <i>Assessment Criteria: (i) adoption and implementation of legislation/regulations; (ii) guidelines for implementation; (iii) benefit sharing mechanism; (iv) national REDD+ registry and system monitoring REDD+ activities</i>					<input checked="" type="radio"/> Significant progress <input type="radio"/> ⚠ Progressing well, further development required <input type="radio"/> Further development required <input type="radio"/> ✖ Not yet demonstrating progress <input checked="" type="radio"/> N/A Non Applicable <i>And explain why:</i>
Subcomponent 2d: Social and Environmental Impacts <i>Purpose: Ensure compliance with the Common Approach and prepare a country specific Environmental and Social Management Framework (ESMF)</i> <i>Assessment Criteria: (i) analysis of social and environmental safeguard issues; (ii) REDD+ strategy design with respect to impacts; (iii) Environmental and Social Management Framework</i>					<input checked="" type="radio"/> Significant progress <input type="radio"/> ⚠ Progressing well, further development required <input type="radio"/> Further development required <input type="radio"/> ✖ Not yet demonstrating progress <input checked="" type="radio"/> N/A Non Applicable <i>And explain why:</i>

	Sub-component	Overall progress		Progress against annual targets		Tracking ⁶ <i>(Please select your light rating)</i>
		Planned milestones	Cumulative Progress Towards Milestones	Expected Annual target	Achievements of the Annual target	
	<p>R-PP Component 3 - Reference Emissions Level/Reference Levels</p> <p><i>Purpose: Development of the general approach to establish a REL/RL</i></p> <p><i>Assessment Criteria: (i) demonstration of methodology; (ii) use of historical data, and adjusted for national circumstances; (iii) technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines</i></p>					<p><input checked="" type="radio"/> Significant progress</p> <p><input type="radio"/>  Progressing well, further development required</p> <p><input type="radio"/>  Further development required</p> <p><input type="radio"/>  Not yet demonstrating progress</p> <p><input type="radio"/>  Non Applicable</p> <p><i>And explain why:</i></p>
R-PP Component 4: Monitoring Systems for Forests and Safeguards	<p>Subcomponent 4a: National Forest Monitoring System</p> <p><i>Purpose: Design and develop an operational forest monitoring system and describe the approach to enhance the system over time</i></p> <p><i>Assessment Criteria: (i) documentation of monitoring approach; (ii) demonstration of early implementation; (iii) institutional arrangements and capacities- Forests</i></p>					<p><input checked="" type="radio"/> Significant progress</p> <p><input type="radio"/>  Progressing well, further development required</p> <p><input type="radio"/>  Further development required</p> <p><input type="radio"/>  Not yet demonstrating progress</p> <p><input type="radio"/>  Non Applicable</p> <p><i>And explain why:</i></p>

Sub-component	Overall progress		Progress against annual targets		Tracking ⁶ <i>(Please select your light rating)</i>
	Planned milestones	Cumulative Progress Towards Milestones	Expected Annual target	Achievements of the Annual target	
Subcomponent 4b: Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards <i>Purpose: Specify the non-carbon aspects prioritized for monitoring by the country</i> <i>Assessment Criteria: (i) identification of relevant non-carbon aspects, and social and environmental issues; (ii) monitoring, reporting and information sharing; (iii) Institutional arrangements and capacities – Safeguards</i>					<input checked="" type="radio"/> Significant progress <input type="radio"/>  Progressing well, further development required <input type="radio"/>  Further development required <input type="radio"/>  Not yet demonstrating progress <input type="radio"/>  Non Applicable <i>And explain why:</i>

Disbursement rate of FCPF-financed Readiness Fund Grant (>3.4 million USD), in percentage (FCPF M&E Framework 1.3.d.):















	Rate	Tracking
RF Grant - disbursement rate vs. planned disbursements		<p><i>Please select your light rating:</i></p> <p><input checked="" type="radio"/> <input type="radio"/> Up to 10% variance with plans</p> <p><input type="radio"/> <input type="radio"/> Between 10 and 25% variance</p> <p><input type="radio"/> <input type="radio"/> Between 25 and 40 % variance</p> <p><input type="radio"/> <input type="radio"/> More than 40 % variance</p> <p><input type="radio"/> <input type="radio"/> Non Applicable</p>


Disbursement rate of Total R-PP Budget in percentage (FCPF M&E Framework 1.3.d.):

	Rate	Tracking
RPP Budget - disbursement rate vs. planned disbursements		<p><i>Please select your light rating:</i></p> <p><input checked="" type="radio"/> <input type="radio"/> Up to 10% variance with plans</p> <p><input type="radio"/> <input type="radio"/> Between 10 and 25% variance</p> <p><input type="radio"/> <input type="radio"/> Between 25 and 40 % variance</p> <p><input type="radio"/> <input type="radio"/> More than 40 % variance</p> <p><input type="radio"/> <input type="radio"/> Non Applicable</p>

3.2.2. Key elements of performance-based payment systems for emission reductions generated from REDD+ activities

- Outcome level

As a synthesis of the following output level assessments, please briefly specify:	
<p>Are carbon accounting, programmatic elements and pricing operating as planned in your pilot, if relevant (<i>FCPF M&E Framework Indicator 2.A.</i>)</p>	<p> <input checked="" type="radio"/>  <input type="radio"/> Yes <input type="radio"/>  Overall yes, but with some discrepancies <input type="radio"/>  Overall no, but with some positive signs <input type="radio"/>  No <input type="radio"/>  Non Applicable <u>Please describe progress made:</u> </p>
<p>Is the benefit sharing scheme being implemented according to plans within your pilot, if relevant (<i>FCPF M&E Framework Indicator 2.B.</i>)</p>	<p> <input checked="" type="radio"/>  <input type="radio"/> Yes <input type="radio"/>  Overall yes, but with some discrepancies <input type="radio"/>  Overall no, but with some positive signs <input type="radio"/>  No <input type="radio"/>  Non Applicable <u>Please describe progress made:</u> </p>
<p>Percentage and/or amount of monetary benefits shared with beneficiaries in approved pilot, if relevant (<i>FCPF M&E Framework Indicator 2.C.</i>)</p>	<p> <input checked="" type="radio"/>  <input type="radio"/> Percentage and/or amount targets to be defined <input type="radio"/>  <input type="radio"/>  <input type="radio"/>  </p>

 Non Applicable
--

- Output level

Has your country submitted early ideas or ER-Program to the CF and/or others (FCPF M&E Framework 2.3.a):	
Yes/No	<u>Please briefly describe the content of these early ideas or ER-Program:</u>

Has your country signed an ERPA (FCPF M&E Framework 2.4.b):	
Yes/No	<u>Please briefly describe the content of this ERPA:</u>

Amount and date of disbursements for ER Program according to plans, if relevant (FCPF M&E Framework 2.5.):	
<u>Date:</u>	<u>Amount provided:</u>
<u>Date:</u>	<u>Amount provided:</u>
<u>Date:</u>	<u>Amount provided:</u>

3.2.3. Engagement of stakeholders to sustain or enhance livelihoods of local communities and to conserve biodiversity within the approach to REDD +





- Outcome level





As a synthesis of the following output level assessments, please describe indicators related to biodiversity conservation and forest community livelihood development included in the ER Program, if relevant (FCPF M&E Framework Indicator 3.A.):	
<u>Amount:</u>	<u>Please describe how these funds target biodiversity and forest community livelihood development:</u>

Please provide relevant examples on the inherent social and biodiversity benefits of REDD+, if relevant (FCPF M&E Framework Indicator 3.B.):	
<u>Examples of inherent social and biodiversity benefits of REDD+:</u>	

- Output level

Number of examples of actions where IPs, CSOs, and local communities participate actively, if relevant (FCPF M&E Framework 3.1.a.):	
<u>#:</u>	<u>Please describe these actions on enhanced livelihoods and BD conservation , and restoration where, IPs and CSOs and local communities participate actively:</u>





Number of IP and REDD country CSO representatives (men/women) having been successfully trained by FCPF training programs (<i>FCPF M&E Framework 3.1.b.</i>):			
<u>Please list the training conducted:</u>	<u>Duration (# of days)</u>	<u># of participants # of men / # of women</u>	<input checked="" type="radio"/> targets in terms of number of men and women to be trained by country to be defined <input type="radio"/>  <input type="radio"/> <input type="radio"/>  <input type="radio"/> <input type="radio"/>  <input type="radio"/> <input type="radio"/>  Non Applicable

Frequency of meetings of stakeholder engagement platforms (<i>FCPF M&E Framework 3.2.a.</i>):	
<u>Frequency:</u>	<input checked="" type="radio"/> targets in terms of frequency to be defined <input type="radio"/>  <input type="radio"/> <input type="radio"/>  <input type="radio"/> <input type="radio"/>  <input type="radio"/> <input type="radio"/>  Non Applicable

Does your country R-Package (within the national REDD+ strategies and the monitoring systems) and/or ER Program include activities aiming at maintaining or enhancing livelihoods of local communities (<i>FCPF M&E Framework 3.2.b.</i>):	
<u>Yes/No:</u>	<u>Please describe these activities aiming at maintaining or enhancing livelihoods of local communities:</u>

Does your country R-Package (within the national REDD+ strategies and the monitoring systems) and/or ER Program include activities aiming at conserving biodiversity (<i>FCPF M&E Framework 3.2.c.</i>):	
<u>Yes/No:</u>	<u>Please describe these activities aiming at conserving biodiversity:</u>

Does your country R-Package and/or ER Program include SESA, an operational Grievance

Mechanisms, and an ESMF that captures SESA results (FCPF M&E Framework 3.2.d.):	
<u>Yes/No:</u>	<p><i>If yes, please select your light rating:</i></p> <p><input checked="" type="radio"/> Degree of advancement or implementation targets to be defined</p> <p><input type="radio"/>  <input type="radio"/></p> <p><input type="radio"/>  <input type="radio"/></p> <p><input type="radio"/>  <input type="radio"/></p> <p><input type="radio"/>  Non Applicable</p> <p><u>Please describe the measures implemented:</u></p>

3.2.4. Knowledge sharing

Has your country developed and published REDD+ knowledge products with FCPF support:	
<u>Yes/No:</u>	<u>Please provide the list of published REDD+ knowledge products, if any during reporting period :</u>

How many people have been reached by these knowledge products, if any:	
<u>Overall number by product:</u>	
<u># of Men:</u>	
<u># of Women:</u>	

Have some experts of your country participated in any South-south learning activities? If yes, how many (men and women)?		
<u>Yes/No:</u>	<u>List the South-South learning activities:</u>	<u># of men:</u>
		<u># of women:</u>

4. ISSUES, CHALLENGES AND RISKS

This section should present any problems, difficulties or constraints faced by the country in making progress towards the intended REDD+ results (outputs, outcomes and possible impacts), the main causes and their expected effect on the work plan. Actions that have been taken to overcome or manage these constraints/flaws/problems identified should be stated. Each problem/constraint should be stated as a separate point, along with associated proposed changes in work planning for the next six month/year to address it, as relevant.

It is expected that the country monitors any changes in the assumptions that underpin the logic of intervention of FCPF at the national level and other significant risks that may arise. This section should explain through a narrative any changes in the level of risk associated with the different assumptions, or describe new risks that may have emerged and have a significant bearing on the national work-planning with respect to FCPF support for the next year and beyond, along with the associated measures required to address this change.

5. MAIN LESSONS LEARNED

This section should be used to provide information on important lessons learnt since the beginning of the readiness process. As this is a semi-annual report, it is expected that this section will be fairly substantial, making reference to different lessons learning documents, and/or events developed and dealing with issues of particular interest with respect to readiness of carbon funding under REDD+.

ANNEX E: CAPACITY REQUIRED TO IMPLEMENT THE M&E FRAMEWORK

M&E actor	Facility management team	
M&E tasks	Capacities needed	Possible capacity building measure
<ul style="list-style-type: none"> ➤ Preparation of M&E formats ➤ Analyzing and compiling information received from <ol style="list-style-type: none"> 1) client REDD countries mostly validated by TAP 2) dashboard or other central information services 3) PC 4) IP and CSO ➤ Maintenance of M&E Database ➤ Linking with knowledge management people of FMT ➤ Preparing reports to PC, Trustee, donors ➤ Quality control of reporting 	<p>Principally human resources with sound M&E experience</p> <p>Although most compiling is of a semi or annual character, much of the information is continuously coming in and could be treated (prepared for timely reporting) immediately also to reduce annual and semi-annual work peaks.</p> <p>1 full-time person supported by colleagues or short-term expertise at peak moments of annual reporting</p>	<p>Review FMT capacity to manage and report with possibility of recruiting of M&E specialist/external support</p> <p>Preparation of MS Access data base</p>

M&E actor	Client countries of FCPF funds and their DPs	
M&E tasks	Capacities needed	Possible capacity building measure
<ul style="list-style-type: none"> ➤ Compilation of country information for semi-annual, annual and mid-term progress reporting ➤ Analysis of project information for identification of best practices and learning examples ➤ Internal quality control on reporting 	<p>Human resources with analytical capacity (focal point)</p> <p>Understanding of M&E and accountability</p> <p>Reporting skills</p> <p>Knowledge of governance and SFM principles</p>	<p>Most of the relevant capacities for the countries should be created during the readiness preparation proposal package. In the case of the DPs, these capacities are expected to already be in place. For the countries, exchange on the use of standards/criteria/ references and on knowledge management with responsible persons for M&E of other REDD countries should be foreseen</p> <p>Eventually coaching by M&E expert</p>

M&E actor	Indigenous people representatives and local CSO	
M&E tasks	Capacities needed	Possible capacity building measure
<ul style="list-style-type: none"> ➤ Participation to semi-annual country progress reporting via national REDD+ process ➤ Progress and mid-term reporting for grants; controlling of ESMF implementation and relevant social and environmental country information of reports ➤ Analysis of project information for identification of best practices and learning examples 	<p>Knowledge Management and reporting skills</p> <p>Understanding of M&E and accountability, and MRV principles</p> <p>Communication capacities</p>	<p>Most capacities are likely to be covered by the IP and CSO CB-Program, i.e. the capacity to assume a watch dog function and the South-South learning</p> <p>Eventually participation at training workshops for focal points.</p> <p>Potential coaching on case study write up to feed into Facility level reporting on outcome 3 following an agreed format should be considered.</p>