



## Forest Carbon Partnership Facility

# Country Level Monitoring and Evaluation: Tracking readiness progress

**FOREST  
CARBON  
PARTNERSHIP  
FACILITY**

Video Conference  
March 4, 2014



# Aim of session

- Provide an overview of readiness monitoring and evaluation (M&E), and linkages to reporting.
  - FCPF facility and national-level M&E, and country reporting requirements (including annual/semi annual, mid-term and readiness assessment)
- Help countries to align their national M&E Frameworks with key milestones to track readiness progress and to use the country reporting template
- Opportunity:
  - For countries to exchange information on their existing M&E arrangements, sharing their progress and remaining challenges
  - To hear from a country that has established their national M&E framework

# Agenda of session

- Overview of core elements of Facility M&E and country reporting
- Components of a good readiness framework
- Pilot country experiences
- Updates from Ethiopia and Mozambique on progress establishing and implementing their national M&E frameworks
- Questions and answers
- Discuss next steps

# Key Reference Documents

FMT Note 2012- 11 rev 2

## 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.*

The FCPF Program Level Monitoring and Evaluation Framework was adopted by the Participants Committee in March, 2013, and is contained in [FMT Note 2012-11 rev 2](#).

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

COUNTRY: X  
PERIOD: X

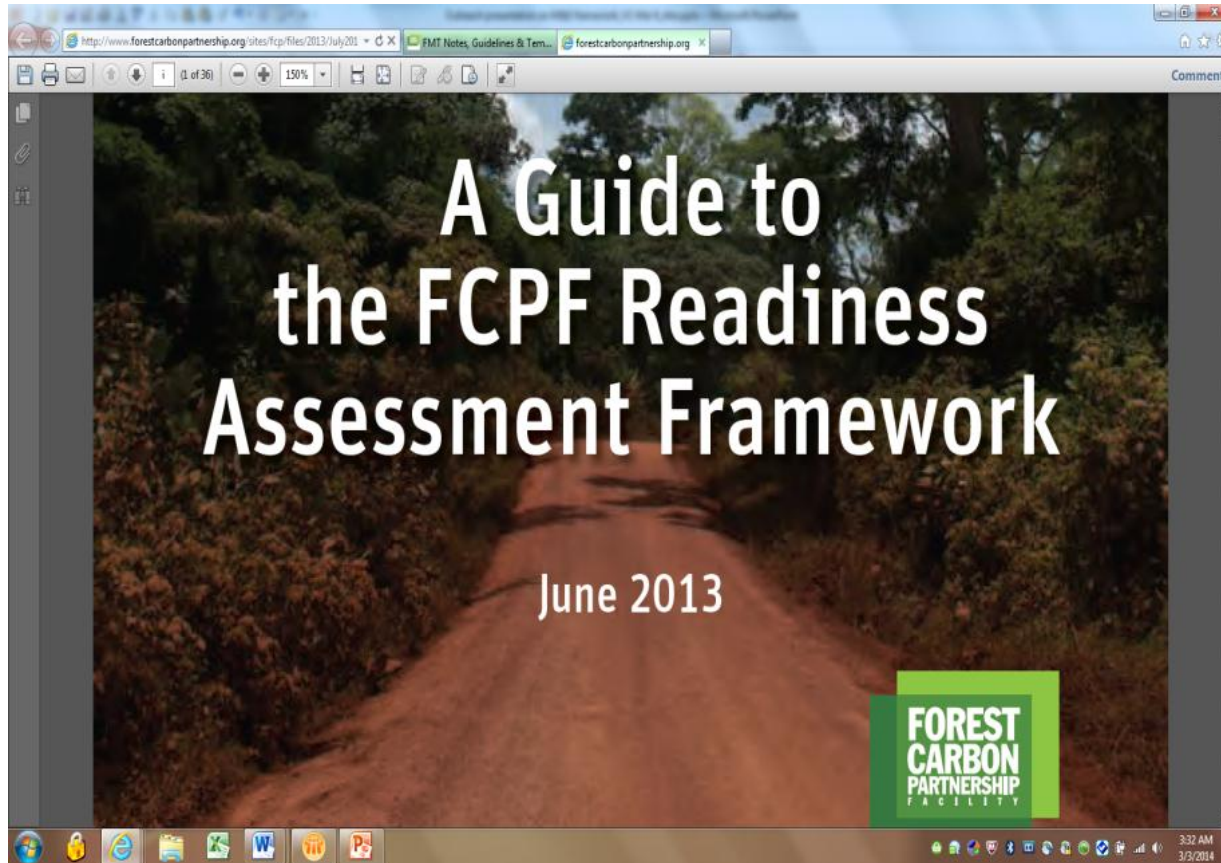
*This country reporting framework has been developed following the structure of the FCPF Monitoring and Evaluation Framework, its logical framework and PMF, so as to facilitate and systematize the data analysis. The semi-annual country reporting should provide the FMT with indications of REDD+ countries' 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.*

REDD countries are using this template to report REDD related progress to the FCPF.

<http://www.forestcarbonpartnership.org/fmt-notes-guidelines-templates>

## Key Reference Documents (2)



This framework provides **self-assessment criteria and guidance** on what countries should aim to achieve in each readiness component by the time of submission of R-Package.

The country reporting template uses the same 9 readiness sub components as contained in the Readiness Assessment Framework

<http://www.forestcarbonpartnership.org/fmt-notes-guidelines-templates>

# Overview: FCPF M&E Framework

- The FCPF Program Level Monitoring and Evaluation Framework (M&E) is designed to keep track of the performance of the Facility vis a vis FCPF objectives as stated in the Charter.
- The M&E Framework consists of a structure and system to ensure that all key data is collected, analyzed and used in a way that helps ensure lesson learning and adaptive management at the Facility level, and assess performance of the Facility over time.
- Performance reported in FCPF annual report and meetings of the Participant's Committee.



# Overview: Country progress reporting

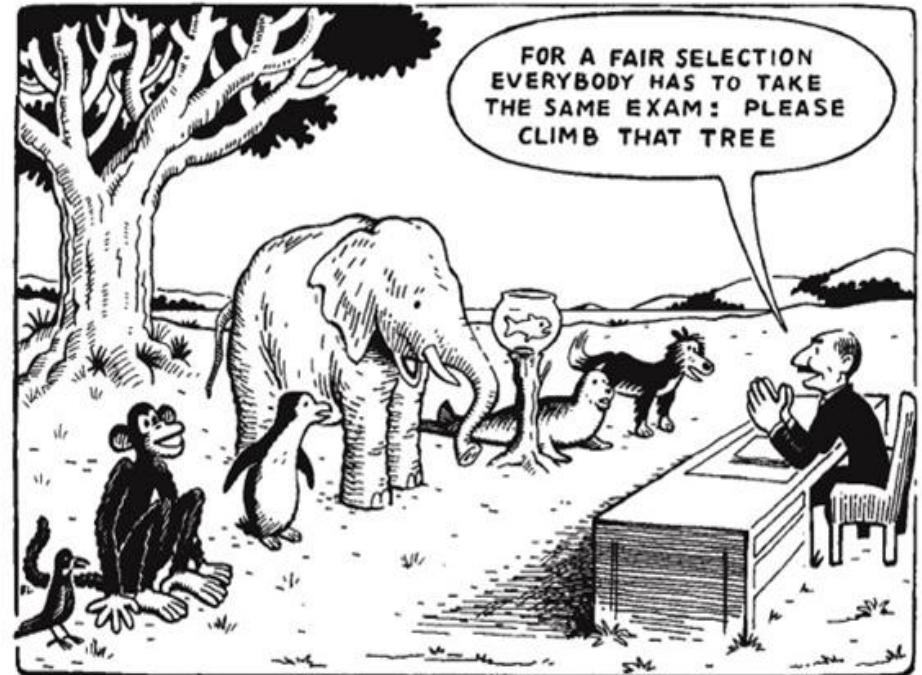
- Countries required to report progress to PC in country progress reports
- The Facility M&E Framework includes a new country reporting structure (Annex D)
  - Improves upon and replaces the national Readiness Progress Fact Sheets template, by integrating R-PP template (version 6), R-Package Assessment Framework and Facility M&E
  - Moves away from reporting on activities only, and allows systematic assessment of progress on readiness
- Countries report progress annually (by August 30) and semi-annually (by March 30), prior to PC meetings



# Overview: FCPF Readiness Assessment Framework

- Provides a common framework to consider a country's progress on core readiness activities.

- Snap shot of *relative* progress
- 34 criteria + corresponding questions that capture the desired outcomes of readiness preparation activities.
- Eligibility requirement of the Carbon Fund + important to BioCF



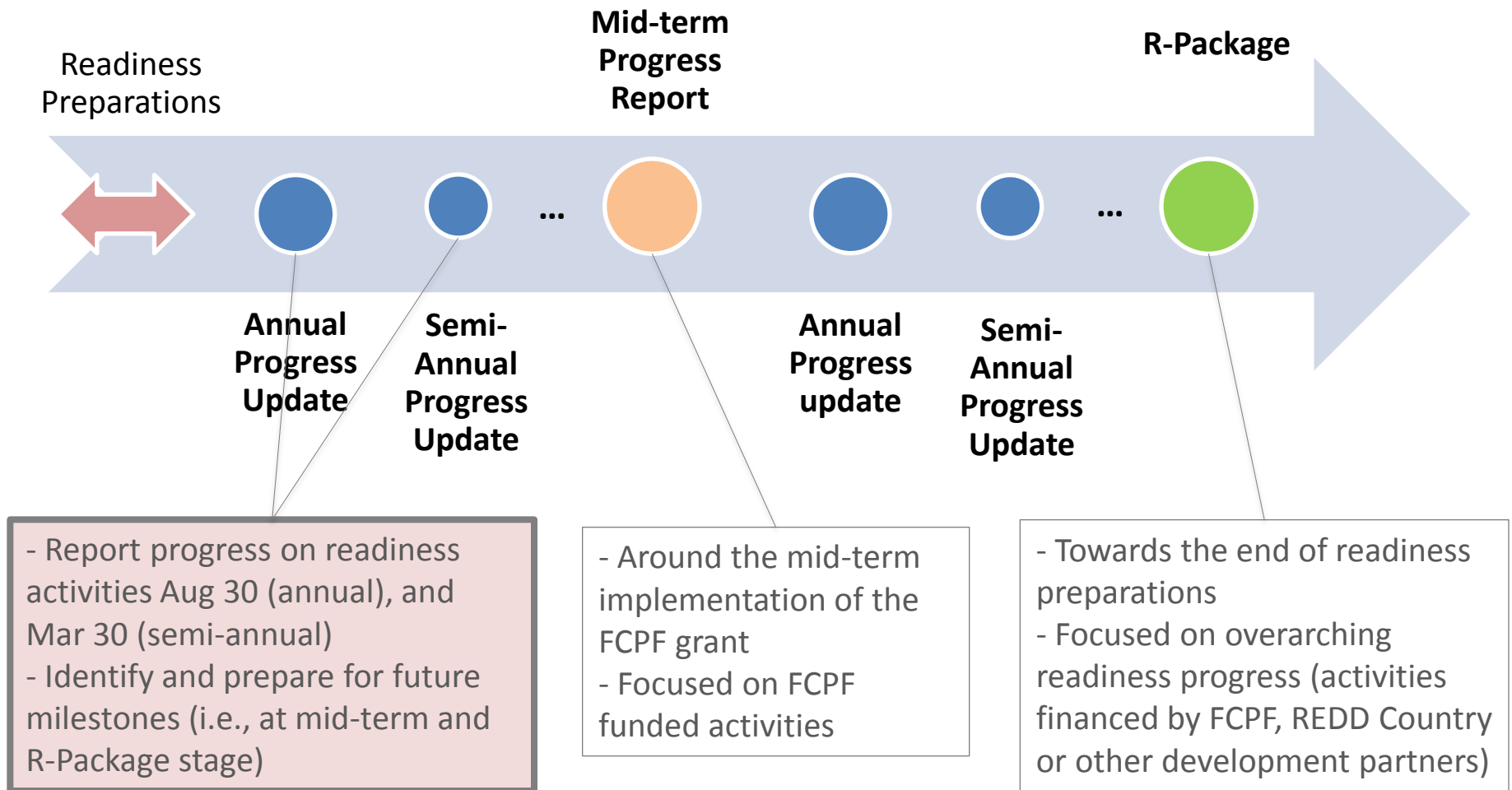
- Important reference for readiness preparations, to comprehensively gauge progress and to focus readiness preparation activities going forward.



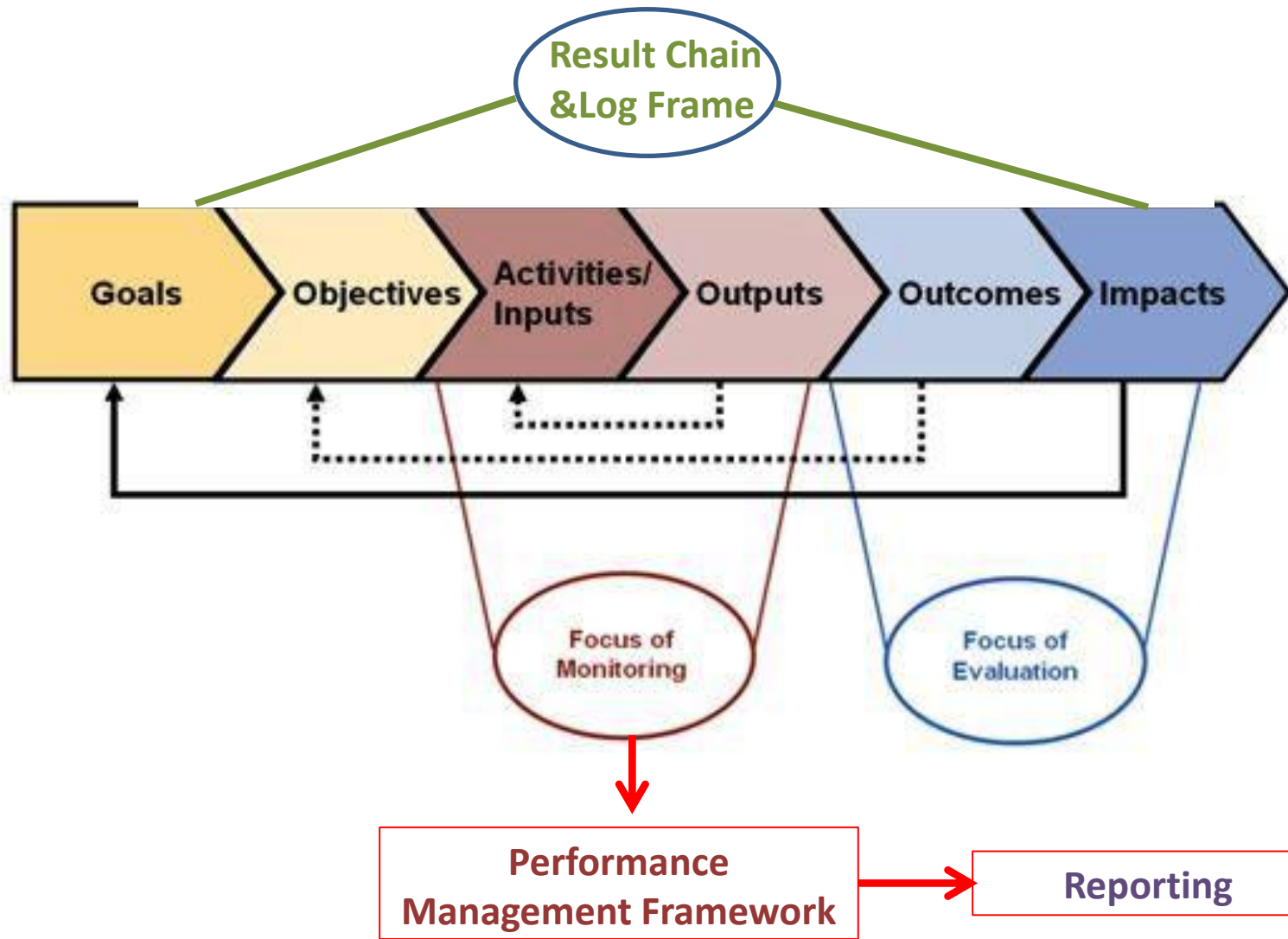
# Why National REDD M&E Framework?

- Keeping track of National REDD readiness process
  - Further strengthen quality and operationalization of M&E (R-PP component 6)
  - Move from activity based to result based monitoring
  - Streamline annual and semi-annual (update) reporting to the FCPF
  - Structuring the framework around the readiness assessment framework gives the flexibility of making assessment against set criteria at any point in time.
- Serves as planning tool: provides a system for planning short term and long term milestones
  - Identify and prepare for key readiness milestones & outcomes to be achieved in short term and medium term, including at mid-term and at R-Package stage
- One system to track and meet multi-reporting requirements on REDD readiness
  - Get an overall picture of progress (including FCPF and non-FCPF funded contributions)

# Readiness Preparation Reporting Milestones



# What is the focus of M&E Framework

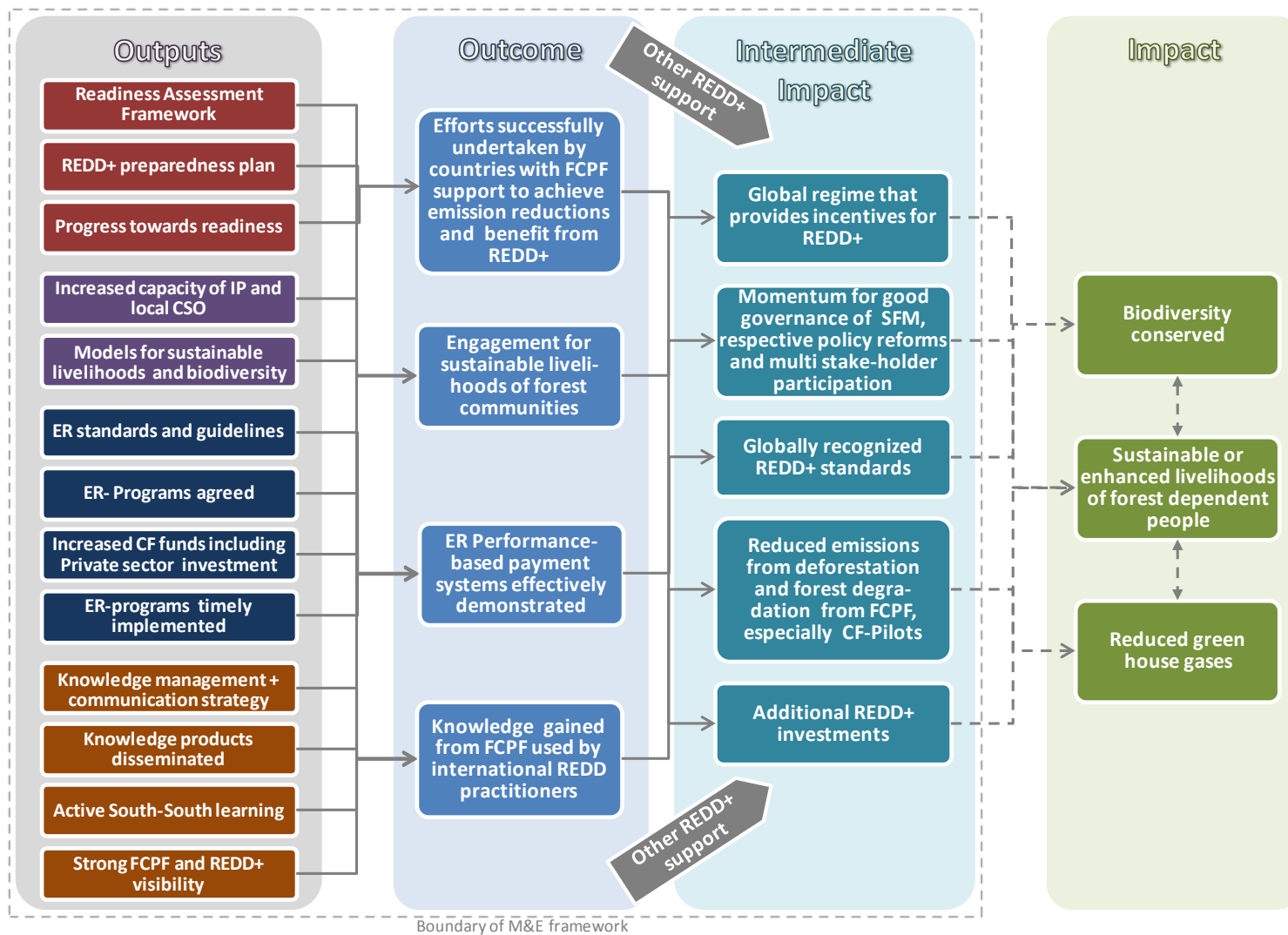


# Core Elements of M&E Framework

- Central to guiding and organizing the M&E framework are:
  - The **Result Chain and Logical Framework**
    - Together provide a strategic overview of the FCPF/ national REDD program. Support decision-making by illustrating the main results to be achieved by the REDD Programme at various levels through performance indicators.
  - The **Performance Measurement Framework (PMF)**
    - Tool used by the Facility Management Team (FMT)/ REDD coordination unit to manage the collection, analysis and reporting on the performance data.
    - Outlines 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.

# Results Chain

## FCPF – Program Level M&E Framework



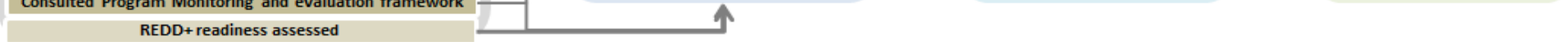
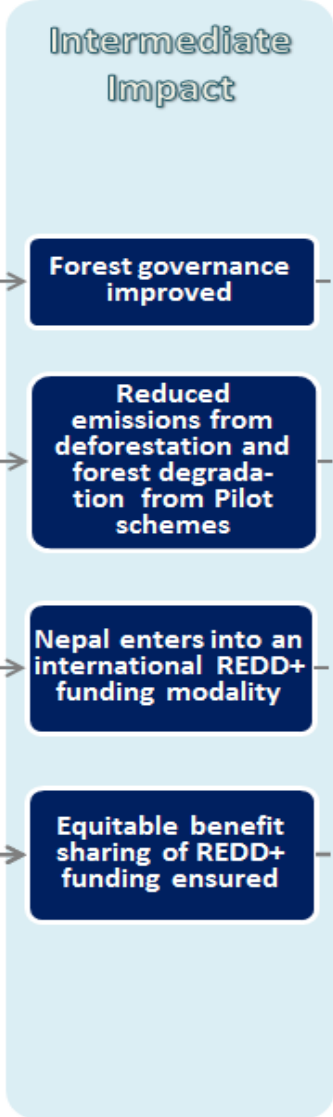
# National Level Result Chain (Nepal)



## Key deliverables for each sub component of Readiness

## Key pillars of Readiness

- Multisectoral and cross-sectoral REDD+ Governance structure
- Technical supervision and fund management capacity
- Feedback and grievance redress mechanism
- Information on REDD+ developed and disseminated
- Capacities for training and involvement on REDD+ enhanced
- Consultation of all stakeholders including IP's, social minorities and local communities ensured
- Results from consultation processes are fed into REDD+ decision making bodies
- Forest resources and changes are known and mapped
- Drivers of deforestation and degradation of forest are analyzed, discussed, prioritized and results are disseminated
- Trends understood and taken into account in action plans
- Strategic options for REDD+ consulted and prioritized
- Strategic options tested and validated in pilot sites
- Institutional arrangements for REDD+ implementation established
- Transparent and efficient financing mechanism to channel carbon funds to the local beneficiaries established
- Carbon benefit sharing arrangements established
- Monitoring and information processes for REDD+ implementation established
- Strategic Environmental and Social Assessment (SESA) completed and findings integrated into REDD strategy
- ESMF completed and findings integrated into REDD+ strategy
- Baseline of deforestation and degradation rates and trends, and of biomass and carbon stocks in Nepal developed
- Reference scenarios and emissions estimates elaborated
- Capacities for Forest Carbon monitoring at from national to community level created
- National Forest Monitoring system operational
- Joint information system on Multiple Benefits, Other Impacts, Governance, and Safeguards operational
- R-PP financial needs covered in a timely manner
- Consulted Program Monitoring and evaluation framework
- REDD+ readiness assessed



# Performance Measurement Framework

Indicator	Baseline	Target	Methods, Sources of Data/information	Frequency of data collection and reporting	Responsibility	Traffic light
<b>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)</b>						
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	
<b>Output 1.1. Readiness Assessment Framework is agreed upon and disseminated</b>						
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	
<b>Output 1.2. Countries demonstrate an adequate plan to achieve preparedness for REDD+ funding</b>						
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	

# Elements to Consider in preparing the framework

- Framework should be based on the outputs, outcomes and intermediate impacts of the readiness process
  - activities described in the R-PP, mid-term report etc., and end-of-project targets, and define links between them (= Results Chain)
  - 'SMART' indicators for each impact, output and outcome, in order to track progress (= Logical Framework)
  - Data availability can be a major constraint. Hence be realistic in choice of indicators and resources that may be required to keep the monitoring and reporting functional over time
- Have provision for independent evaluation, preferably at mid-term (typically at 18 months from signing of grant agreement)
- Some aspects of the program can be assessed better through evaluation as opposed to monitoring. Hence a balanced/ judicious combination of monitoring and evaluation



# Indicators used for gathering performance information should be..... SMART

<b>S</b>	<b>Specific:</b> Reflect what the project intends to change and are able to assess Performance
<b>M</b>	<b>Measurable:</b> Must be precisely defined; measurement and interpretation is unambiguous. Provide objective data, independent of who is collecting data.
<b>A</b>	<b>Attainable:</b> Achievable by the project and sensitive to change. Feasible time and money to collect data using chosen indicators. Available at a reasonable cost
<b>R</b>	<b>Relevant:</b> Relevant to the project in question.
<b>T</b>	<b>Time Bound:</b> Describes when a certain change is expected.

# Elements to Consider in preparing the framework

## (2)

- Making use of existing data collection monitoring and evaluation arrangements, as feasible
- Identifying clear roles and responsibilities for data collection, source of information, a schedule and budget (who will collect what and when)
- Feasibility of data collection and milestones.
- Providing examples and case studies on thematic work areas related to readiness, multi-stakeholder engagement etc

# Elements to Consider in preparing the framework

## (2)

- The breadth and depth of stakeholder participation/consultation and validation
- As good practice inputs/ feedback from relevant stakeholders should be sought



## Nepal's learning on M& E framework



- It captures the strategic goal of R-PP process in result chain; and offers key internal management tool to handle the collection, analysis and reporting on the performance of R-PP activities;
- It is useful in steering the REDD program and provides holistic picture of REDD readiness including the contributions of other partners;
- Validation process enhances ownership of CSO/IPOs and makes them responsible to participate in periodic M & E process;
- The framework is very comprehensive; but it demands a dedicated staff to accomplish this task

# Concluding remarks

- Where national M&E Frameworks for REDD readiness are in place and functional they should be adapted and used to inform the reporting to the FCPF. Where such frameworks do not exist, this is an opportunity to design such a framework and agree on key milestones for readiness components.
  - Setting up national M&E frameworks may take time
  - Consider engaging someone to work with REDD team to get framework up and running
- Countries can start using revised reporting template.
  - Begin report on FCPF-funded outputs and outcomes, working towards impacts and non-FCPF investments (optional)
- Taking the time to systematically design M&E framework will result in efficiency in the long-term.
  - Assist countries with mid term reporting and eventually on R-Package submissions



# Discussion Questions/Next steps

- How well does your M&E framework (component 6 R-PP) keep track of readiness progress?
  - Is it designed to adequately capture readiness milestones?
  - Does it report on activities and results?
  - Is it being applied in practice?
- What are the gaps/needs to start using the new reporting template (if any).
- Questions
- Next steps



# **Using Country Reporting template on REDD Readiness (Annex D, FCPF M&E Framework)**

# Country Progress Reporting: side by side

## Old Country Progress Fact Sheet

### Countries reported on status and issues related to:

1. R-PP Preparation and FCPF Readiness grant
2. National REDD Readiness Management Arrangements
3. Stakeholder Consultations and Communication
4. REDD Strategy Preparation
5. Implementation Framework
6. SESA
7. Development of a Reference Scenario
8. MRV
9. Other

## Revised Reporting Template (Annex D of FCPF M&E Framework)

### Countries report

#### -Summary of readiness progress

- Level of implementation of the R-PP as a whole
- Overall level of achievement of planned milestones according to approved FCPF-financed Readiness Fund Grant

#### -Progress against milestones for each R-PP component

- Degree of achievement of planned milestones per R-PP component and sub-component (i.e., National REDD+ Management Arrangements)

#### -Progress on financial aspects

- Disbursement rate of FCPF-financed Readiness Fund Grant
- Disbursement rate of Total R-PP Budget

#### -Explicitly reporting on other relevant readiness indicators

- Indicators related to biodiversity conservation and forest community livelihood development/examples of inherent social and biodiversity benefits of REDD+. E.g.,
  - Number of examples of actions where IPs, CSOs, and local communities participate actively
  - Number of IP and REDD country CSO representatives (men/women) having been successfully trained by FCPF training programs
  - Frequency of meetings of stakeholder engagement platforms
- REDD+ knowledge products with FCPF support
- South-south learning activities



# Completing the country reporting template: E.g., Level of implementation of the R-PP as a whole (semi-annual)

Level of implementation of R-PP<sup>3</sup> as a whole:

Please describe the current R-PP implementation stage:






- Specify whether at early stage of readiness, at mid-term or further advanced.
- Include summary information on progress made on process of signing the grant agreement (200 K, 3.6 million dollar, or additional \$5 million), progress with respect to sub components, and key challenges.
- Encouraged to include information on non FCPF supported components as well, other sources of funding available to implement the R-PP (optional).

# E.g., Degree of achievement of planned milestones per R-PP component and sub-component (annual)

	Sub-component	Overall progress		Progress against annual targets		Tracking <sup>6</sup> (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	<p>Sub-Component 1a – National REDD+ Management Arrangements</p> <p><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></p> <p><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></p>					<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 <p><i>Please explain why:</i></p>

- Each sub component should be populated with planned milestones (overall and expected annual targets) and assess the respective cumulative progress towards milestones and achievements of annual targets.
- The level of achievement of planned milestones should be qualitatively reported, as well as summarized through a four color ‘traffic light’ scale (based on the system contained in the Readiness Assessment Framework).
- The readiness assessment framework criteria are included to assist countries identify, plan and track their readiness preparations progress with desired outcomes of readiness preparation activities.
- May also provide information on other non-FCPF funded sub components where work has been undertaken (optional).

# E.g., Disbursement rate of FCPF-financed Readiness Fund Grant (semi-annual)

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>Please select your light rating:</p> <p><input checked="" type="radio"/>  Up to 10% variance with plans</p> <p><input type="radio"/>  Between 10 and 25% variance</p> <p><input type="radio"/>  Between 25 and 40 % variance</p> <p><input type="radio"/>  More than 40 % variance</p> <p><input type="radio"/>  Non Applicable</p>

- Report annual and cumulative disbursements of FCPF Grant achieved by June 2013 (as percentage) in relation to agreed Procurement plan/annual work plan.
- Explain reasons for shortfalls, if any.

# E.g., Indicators related to biodiversity conservation and forest community livelihood development (if relevant)

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.*):

Amount:

Please describe how these funds target biodiversity and forest community livelihood development:

Number of examples of actions where IPs, CSOs, and local communities participate actively, if relevant (*FCPF M&E Framework 3.1.a.*):

#:

Please describe these actions on enhanced livelihoods and BD conservation, and restoration where, IPs and CSOs and local communities participate actively:

- Include examples of and indicators that point to measures (policies/interventions) included in design of REDD strategies and MRV systems to enhance and monitor biodiversity conservation and community livelihood development.
- Other indicators:
  - Number of IP and REDD country CSO representatives (men/women) having been successfully trained by FCPF training programs
  - Frequency of meetings of stakeholder engagement platforms