Draft FCPF Monitoring and Evaluation Framework

Prepared by

Alain Lafontaine, Baastel

and

Dietrich Busacker & Cornelia Sepp, ECO Consult (on behalf of GIZ)
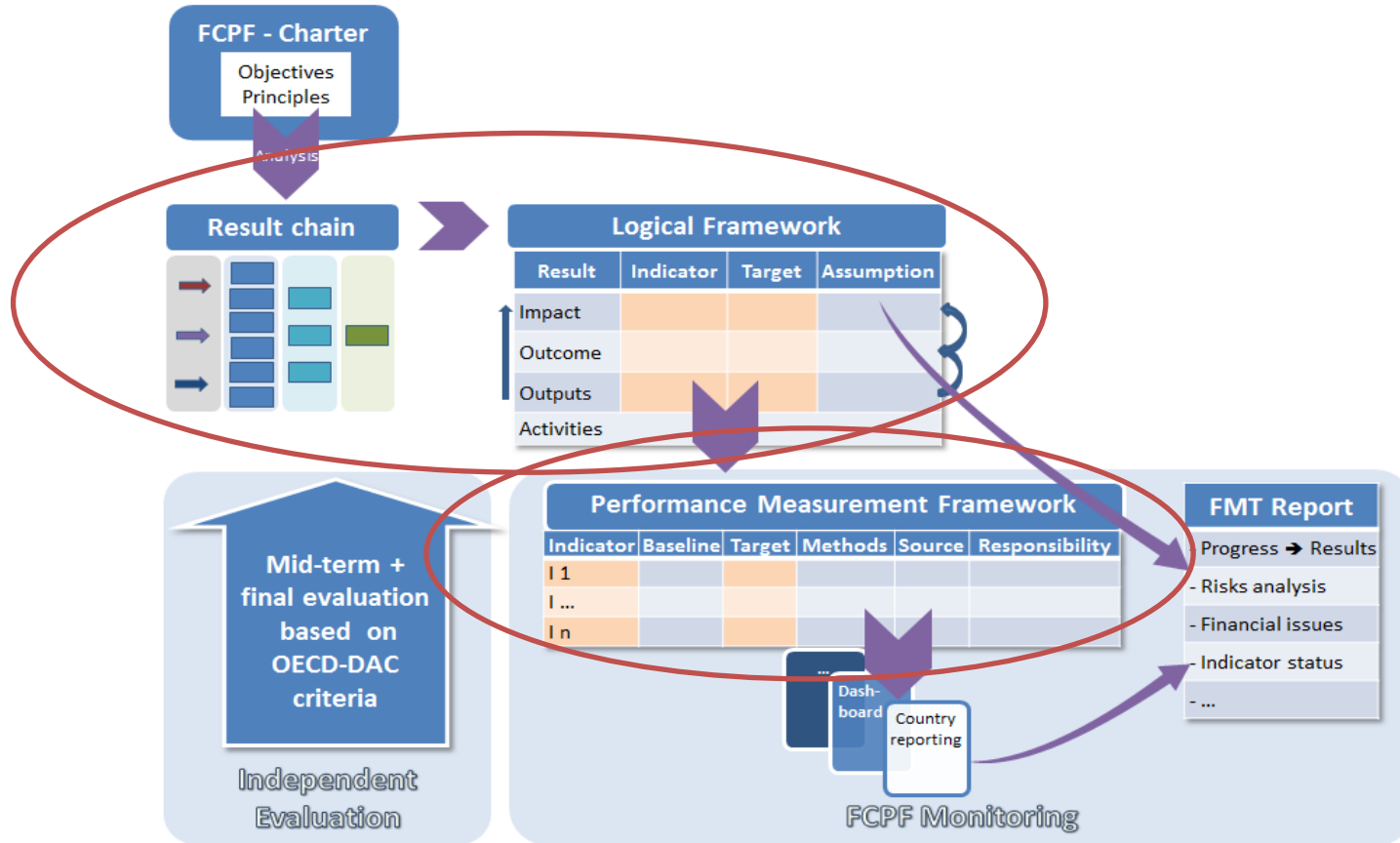
Background & Scope

PC11 mandated preparation of a M&E framework for the FCPF until 2020.

- Monitoring focuses on efficiency and effectiveness – semi-annual - internal

- Evaluation: covers all 5 OECD/DAC criteria - at set intervals – external

Two central building blocks:

- Result Chain and Logical Framework

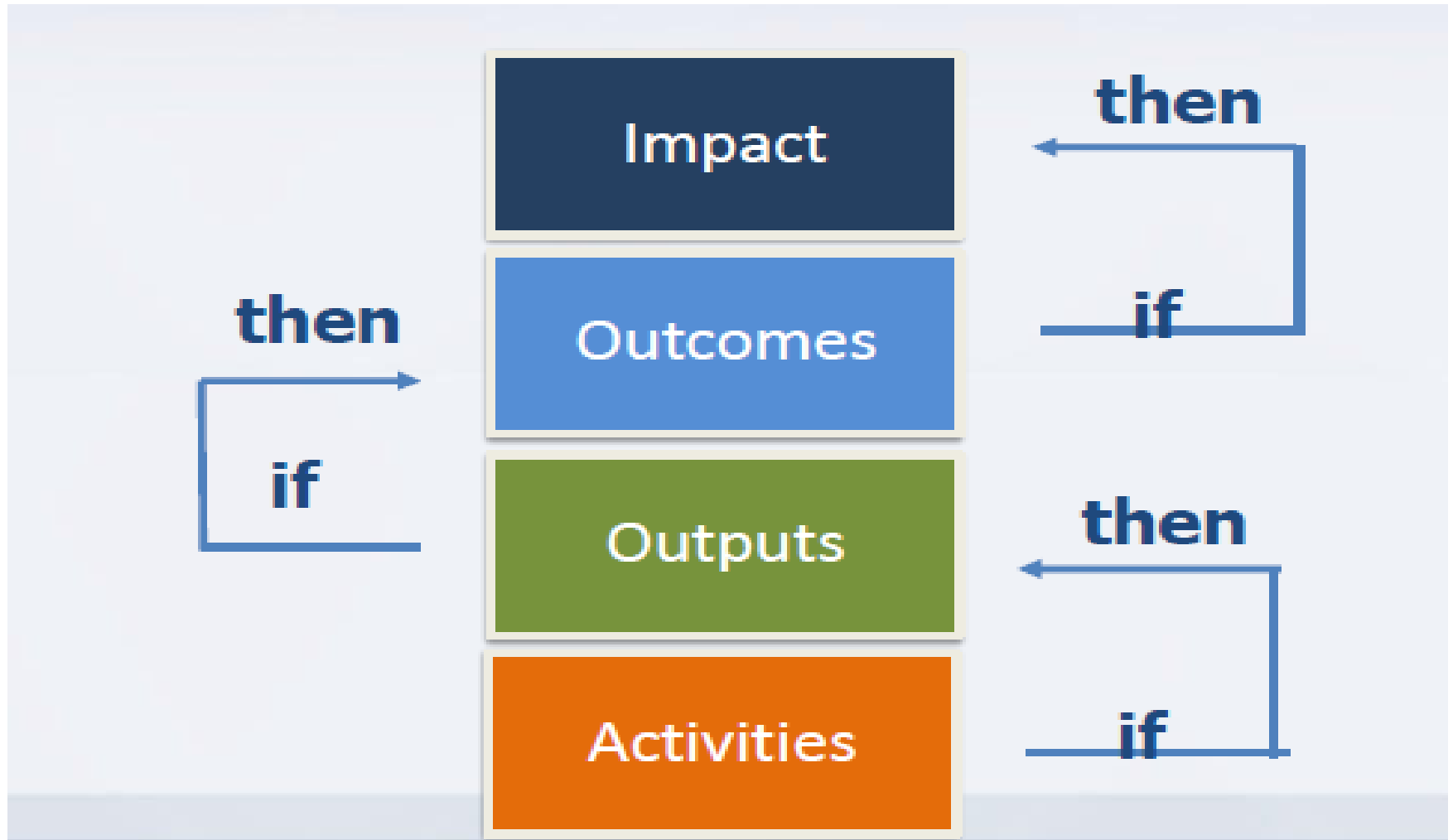- Performance Measurement Framework (PMF)

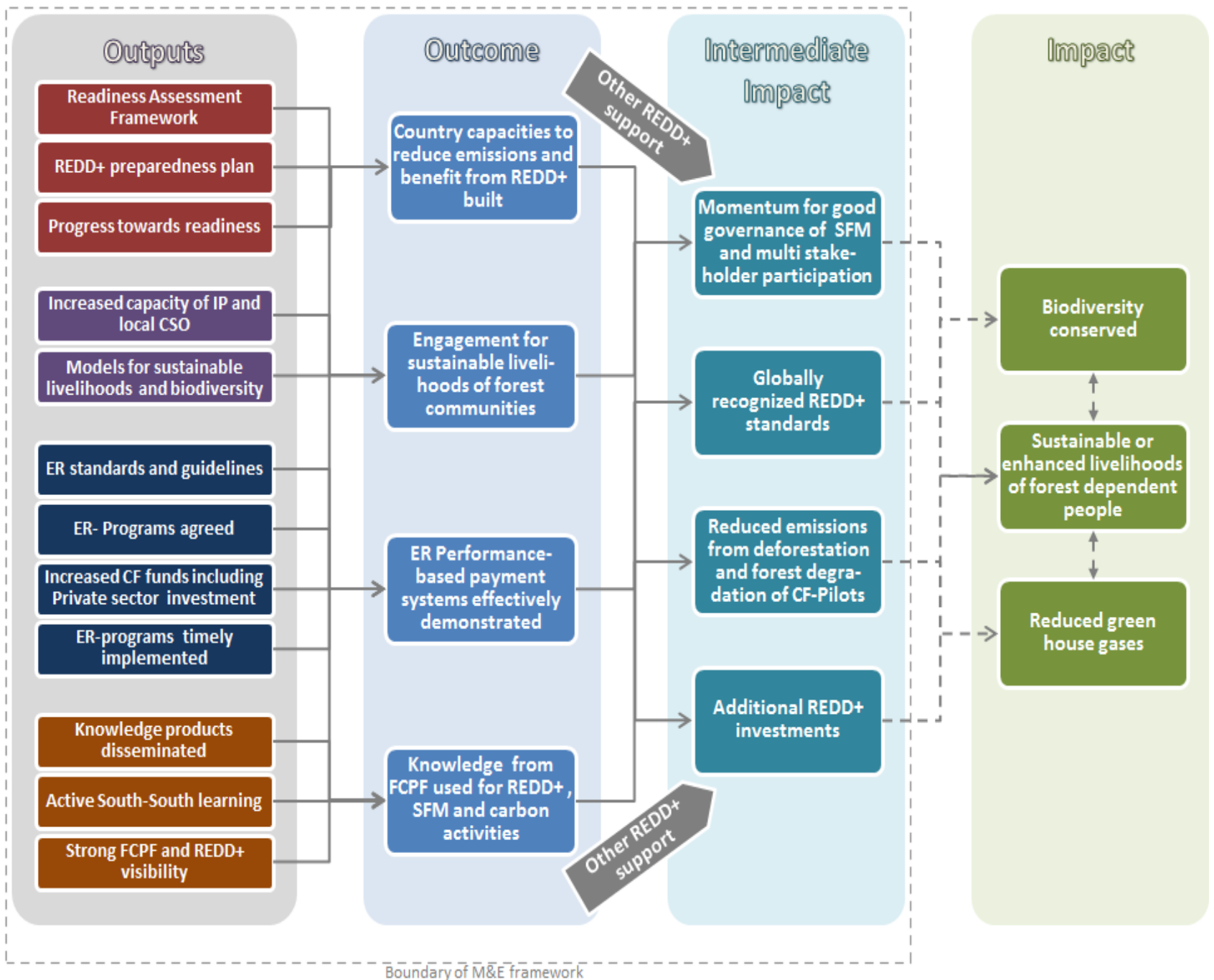# Conceptual basis and scope of framework

Objectives defined in the charter

1. **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;

2. **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;

3. Within the approach to REDD, to **test ways to sustain or enhance livelihoods of local communities and to conserve biodiversity**; and

4. **To disseminate broadly the knowledge gained** in the development of the Facility and implementation of Readiness Plans and Emission Reductions Programs.

The Result Logic

Outputs

- Readiness Assessment Framework
- REDD+ preparedness plan
- Progress towards readiness

- Increased capacity of IP and local CSO
- Models for sustainable livelihoods and biodiversity

- ER standards and guidelines
- ER- Programs agreed
- Increased CF funds including Private sector investment
- ER-programs timely implemented

- Knowledge products disseminated
- Active South-South learning
- Strong FCPF and REDD+ visibility

Outcome

- Country capacities to reduce emissions and benefit from REDD+ built
- Engagement for sustainable livelihoods of forest communities
- ER Performance-based payment systems effectively demonstrated
- Knowledge from FCPF used for REDD+ , SFM and carbon activities

Intermediate Impact

Other REDD+ support

- Momentum for good governance of SFM and multi stake-holder participation
- Globally recognized REDD+ standards
- Reduced emissions from deforestation and forest degra-dation of CF-Pilots
- Additional REDD+ investments

Other REDD+ support

Impact

- Biodiversity conserved
- Sustainable or enhanced livelihoods of forest dependent people
- Reduced green house gases

Boundary of M&E framework

Outcomes and Indicators

Outcome 1 (Countries Capacity on REDD+)

- relates to the RF

- indicator measures the capacities of REDD countries to benefit from a system of positive incentives for REDD+

- progress on readiness phase will be provided by REDD countries 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

- Indicator formulation is rather careful as the future funding level is not fully known yet, (for the moment limited to five countries by 2015)

Outcomes and Indicators

Outcome 3 (**test models** that help sustain or enhance **livelihoods** of local forest communities and conserve **biodiversity** at the same time)

- integral part of any REDD+ project and also ER-program criteria.
- Indicators relate to amount of funds that adress these issues and use examples as a measure

Outcome 4, (**disseminate broadly the knowledge gained** in the development of the Facility and piloting)

- is transversal to the three previous outcomes
- underlines the "learning-by-doing" character of the FCPF
- indicators measure interest expressed by new countries in FCPF and use of knowledge products

Logical Framework (excerpt)

Level	Results	Indicators	Targets by 2020	Asumptions
Impact 1	**Reduced emissions from deforestation and forest degradation from CF portfolio countries**	I.1.A. Number of tons of CO_2 emissions from deforestation and forest degradation reduced in CF supported interventions	Tbd by ERPAs	
Impact 3	**The FCPF has generated momentum to address governance and transparency issues and policy reforms related to sustainable forest resource management REDD+**	I.3.A. Degree to which decision making processes related to emission reductions and forest resource management in participant countries allow for active multi-stakeholder participation I.3.B. Nb. of policy reforms completed or underway complying to REDD+ standards in a participant country	I.3.A. Improved active multi-stakeholder participation I.3.B. n/a	

Logical Framework (excerpt)

Level	Results	Indicators	Targets by 2020	Assumptions
Outcome 1	**1. Countries have built the capacity to reduce emissions 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 assessed by PC. (R-Packages are in line with assessment framework)	1 by 2013 10 new RP by 2015 15 + RPs (by 2018) 20+ RPs by 2020	The incentives provided by REDD+ schemes are sufficient International negotiations for REDD+ remain supportive.
Output 1.1	Readiness Assessment Framework is agreed upon and disseminated	Existence of published assessment framework on readiness package	Assessment framework published following PC14 adoption	
Output 1.2	Countries demonstrate an adequate plan to achieve preparedness for REDD+ funding	Number of Readiness Preparation Grant agreements approved	30+ countries by 2015	Plans and targets were realistically assessed by technical experts before approval in view of existing baseline capacities and participant countries' contexts.

Logical Framework (excerpt)

Level	Results	Indicators	Targets by 2020	Asumptions
Output 3.2	**Pilots have been successfully implemented on ways to sustain and enhance livelihoods and conserve biodiversity**	3.2. Number of countries with R-Packages and ER Program submitted to FCPF that demonstrate: a. Ongoing active engagement of relevant stakeholders in implementation of national REDD+ Readiness processes b. Testing ways to maintaining or enhancing livelihoods of local communities c. Testing ways to conserve biodiversity d. Inclusion of SESA and advanced draft of ESMF	a. all countries that submit R Packages b. 75% of all ER Program implemented c. 60% of all ER Programs implemented d. 10+ countries for SESA and ESMF 2015 15 + RPs (by 2018) 20+ RPs by 2020	

Performance Measurement Framework (excerpt)

Indicator	Baseline	Target (by 2020)	Methods, Sources	Frequency	Responsi bility
Impact 1 Reduced emissions from deforestation and forest degradation from CF portfolio countries					
I.1.A. Number of tons of CO_2 emissions from deforestation and forest degradation reduced in CF supported interventions	0	Tbd by ERPAs for 2020	MRV system under pilot schemes	Once in 2020	FMT
I.3 The FCPF has generated momentum to address governance and transparency issues and policy reforms related to sustainable forest resource management REDD+					
I.3.A. Degree to which decision making processes related to emission reductions and forest resource management in participant countries allow for active multi-stakeholder participation	A. Level before R-PP process	Improved active multi-stakeholder participation	Review of country progress reporting, GRM, and R-Package	Every six months	FMT
I.3.B. Nb. of policy reforms completed or underway complying to REDD+ standards in Participants' country	B. 0	n/a	Review of country progress reporting and R-Package	Every six months	FMT

Performance Measurement Framework (excerpt)

Indicator	Baseline	Target (by 2020)	Methods, Sources	Frequency	Responsibility
Outcome 1: *Countries have built the capacity to reduce emissions 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 assessed by PC (R-Packages are in line with assessment framework)	0	1 by 2013 10 new RPs (by 2015) 15+ RPs (by 2018) 20+ by 2020	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	a. Assessment framework published following PC14 adoption	a. List made from PC meeting proceedings, Review of posting of pubs 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. Number of Readiness Preparation Grant agreements approved	7	30 + (by 2015)	Count from PC meeting proceedings; Dashboard	Every six months	FMT

Performance Measurement Framework (excerpt)

Indicator	Baseline	Target (by 2020)	Methods, Sources	Frequency	Respon-sibility
Output 3.2 Pilots have been successfully implemented on ways to sustain and enhance livelihoods and conserve biodiversity					
3.2. Number of countries with R-Packages and ER Programs submitted to FCPF that demonstrate: **3.2.a. Ongoing active engagement of relevant stakeholders in implementation of national REDD+ Readiness processes** **3.2.b. Testing ways to maintaining or enhancing livelihoods of local communities** **3.2.c. Testing ways to conserve biodiversity** **3.2.d. Inclusion of SESA and advanced draft of ESMF**	a.:7 b.:tbd c.:tbd d.:1	a.all countries that submit R Packages b.75% of all ER Programs implemented c.60% of all ER Programs implemented d.10+ countries for SESA and ESMF 2015 15 + RPs (by 2018) 20+ RPs by 2020	All: Review of Country progress reports, R-packages and ER Programs	Every six months	Reporting by countries, Reviewed by TAP. Assessment compiled by FMT

Data collection and reporting

Using existing reporting tools

- FCPF Dashboard
- National and Delivery Partner Reporting

Tools and timing

- Template for FMT result-based management semi-annual reporting to PC (June and six months later)
- Countries Mid-term progress reports
- GRM reporting of Delivery Partners
- Annex to Performance Reports for CF Pilots

Main parts of the proposed FMT Reporting Format

1.   Main achievements and results during the period
    1.1 Highlights
    1.2 Progress at the impact level *(if any data available)*
    1.3 Progress at the outcome level
    1.4 Progress by output
2.   Issues and challenges
3.   Main lessons learned and case studies
4.   Monitoring of assumptions and risks
5.   Actions/decision to be taken
6.   Work plan for the coming period
7.   Financial issues
8.   Performance measurement reporting framework

Evaluation

- Required by FCPF Charter
- Complements regular monitoring
- Contributes to accountability
- Is independent

First evaluation in 2010/2011 covered first two years of operations of FCPF

- Early stages of implementation
- Covered only Readiness Fund not Carbon Fund
- Impact evaluation was not assessed

Evaluation

Proposed evaluations:

- In 2015 end of RF & Initial stage of CF

- In 2017 focus on CF (mid-term review)

- In 2020 final CF and whole process

Roles & Responsibilities for M&E

FMT:

(i)inform indicators, in particular for outcome 3&4,

(ii)ensure data collection, its quality, and their periodic aggregation for the purpose of reporting to the PC.

PC:

(i)ensure overall high-quality and timely results on the basis of reporting from FMT,

(ii) serving as a forum for exchange around reported results.

Roles & Responsibilities for M&E

Countries:

Inform a few of the global indicators required at aggregate level, e.g. reporting on:

- REDD readiness progress under outcome 1,
- pilot test examples under outcome 3,
- dissemination and application of FCPF lessons and knowledge products under outcome 4.

Roles & Responsibilities for M&E

IP and CSOs: active partners to the FCPF reporting on

- examples of ways to improve the outreach and quality of the REDD preparedness process in countries and ER programs, (benefit sharing, biodiversity conservation and livelihoods of local communities)

- report progress with workshops and trainings, e.g. promoting active participation in design and implementation of programs to address enhanced livelihoods and biodiversity conservation.

DPs: help ensure FCPF funding is effectively and efficiency used

Thank you!