



# **FUNDING PROPOSAL TO THE GREEN CLIMATE FUND**

**-IRES-CUBA-**

**INCREASED CLIMATE RESILIENCE OF RURAL HOUSEHOLDS AND COMMUNITIES  
THROUGH THE REHABILITATION OF PRODUCTIVE AGROFORESTRY LANDSCAPES  
IN SELECTED LOCALITIES OF THE REPUBLIC OF CUBA**

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## **ANNEX 11** Monitoring and evaluation plans

November 2019

Republic of Cuba

<b>Monitoring</b>				
Data/Source	Collection Tool	Frequency	Indicator	Indicative Budget
<b>Outcome A5.0: Strengthened institutional and regulatory systems for climate-responsive and low-emission planning and development - institutional strengthening and territorial governance</b>				
Reports about Workshops/or analysis, discussions, options and proposals made by experts for reforms of policy, regulatory, planning instruments	<i>Document review</i>	<i>Annual</i>	Number of policy instruments and incentive mechanisms that enable climate change adaptation that are developed and presented to the national government for discussion and policy dialogue	<i>TBC<sup>1</sup></i>
<b>Outcome A7.0: Strengthened adaptive capacity and reduced exposure to climate risks</b>				
Clear and precise indicators for soil quality, water availability, production quality and quantity, number of trees planted, crop phenology, weather behavior, and the incidence of extreme climate events, such as droughts and floods, among others.	<i>Survey/questionnaire</i>	<i>Annual Y2-6</i>  MINAG technicians will gather this information once a month with the assistance of community extension agents.	Clear and precise indicators of farm plans impacts in natural resources (soil quality, water availability, production quality and quantity, number of trees planted, crop phenology, weather behavior, and the incidence of extreme climate events, such as droughts and floods, among others).	<i>TBCError! Bookmark not defined.</i>
<b>Outcome M9.0: Improved management of land or forest areas contributing to emissions reductions</b>				
GIS, such as aerial and satellite imagery, as well as specialized software programs to generate maps, will be used to measure and monitor forest areas and trees on farms.  FAO's EX-ACT tool will be used to determine the tCO <sub>2</sub> -eq sequestered because of project activities	<i>GIS data</i>	<i>Y3-Y7</i>	Area of degraded land restored through activities of the project	<i>TBCError! Bookmark not defined.</i>
FAO's EX-ACT tool will be used to determine the tCO <sub>2</sub> -eq sequestered because of project activities	<i>Other (please specify)</i>	<i>Y3-Y7</i>	The expected tCO <sub>2</sub> -eq sequestered through activities of the project	<i>TBCError! Bookmark not defined.</i>

<sup>1</sup> To Be Confirmed. This will be determined during the inception workshop once the project start.

<b>Evaluation</b>			
Type	Timing	Independent/Self-evaluation	Indicative Budget
<i>Process</i>	Baseline, during inception of the project	<b>Independent</b>	<b>50,000</b>
<i>Process</i>	Monitoring and reporting	<b>Self-Assessment</b>	<b>225,000</b>
<i>Process</i>	An interim evaluation (Mid-Term) report within three years from the start of the project implementation (first quarter of the fourth year)	<b>Independent</b>	<b>150,000</b>
<i>Process</i>	Final evaluation report will be due within 6 months from the end of project implementation	<b>Independent</b>	<b>150,000</b>
<i>Process</i>	Impact Evaluation	<b>Independent</b>	<b>500,000</b> 50% to be covered by GCF and 50% by Cofinance

### **Brief description of the IRES-Cuba Monitoring and Evaluation System**

Project-level monitoring and evaluation will be undertaken in compliance with FAO policies. FAO will ensure the existence of a well-designed, operational and effective impact monitoring and measurement system to analyse and quantify the causal and attributable change, the contribution and the overall causal results of the project. This will include an implementation of a monitoring system to understand efficacy, targeting and verifying the assumptions that the program is making as well as implementing a learning plan so elements emerging from the monitoring systems can feed back into the project implementation and planning Outcomes.

A dedicated project Unit, including National Monitoring and Evaluation Thematic Specialist, the Project Coordinator, thematic specialists and project field staff will be responsible for the design of a comprehensive M&E system. The theory of change, further developed and validated during the project inception workshop will be used to identify impact pathways and develop and identify key indicators for monitoring, data needs, prioritize data collection steps, and provide a structure for data analysis and reporting.

Projects components will be monitored separately as well as in relation to the achievement of higher level projects results and overall GCF goals. The project should put particular attention in ensuring the monitoring of differential impacts by sex, age and vulnerability, with particular attention in monitoring projects relevant to women and more vulnerable populations.

The monitoring structure should allow adjustments and will rely on following building blocks : a database including a list of households defined by multiple criteria variables (see Feasibility Study, sections 1.4 and 1.4 for further details) Likewise, to ensure that the actions in the field are being implemented. Project sites will be geo-referenced.

FAO will complete an initial baseline, carried out at project inception phase, as well as of the mid-line and of the end-line surveys. Mid-line and end-line surveys will be inputs to preparation of semiannual reports as well as to the mid-term and the final evaluation.

Other reporting informed by the project monitoring system will include among others monthly reports, the Annual Operational Plan, the semiannual and annual progress reports for the government, cooperation agency, and FAO.

Within the monitoring system, the detailed articulation is contemplated between the Project workplan and the action plans for gender, indigenous people, biodiversity and the social and environmental framework to safeguard and ensure a comprehensive and holistic monitoring system.

The day-to-day project monitoring and implementation responsibility rests on a national recruited Coordinator that will lead the PMU. S/he will be supported by a monitoring and evaluation specialist, who will lead the PMU's Monitoring and Evaluation Unit. The M&E Specialist will coordinate the annual work plans to ensure the efficient implementation of the project. The Coordinator will inform the ESC and FAO Country Office of any delays or difficulties during implementation, including M&E plan, so that appropriate and corrective measures can be adopted. The National Coordinator will ensure that all project staff maintain a high level of transparency, responsibility and accountability in monitoring and reporting project results. FAO will support the National Coordinator as needed, including through annual monitoring missions. Additional M&E and implementation quality assurance and troubleshooting support will be provided by FAO as needed. The Technical and Scientific Committee (TSC), project beneficiaries and stakeholders will be involved as much as possible in project-level M&E.

A project inception workshop will be implemented in order to aid to: a) orient project stakeholders to the project strategy and discuss any change in the overall context that might influence implementation; b) discuss the roles and responsibilities of the project team and ESC, including reporting and communication lines; c) review the results framework and discussion, present in detail the Theory of Change of the project, reporting, monitoring and evaluation roles and responsibilities, and to finalize the M&E plans; d) review financial reporting requirements; and e) planning and scheduling ESC meetings; and f) finalize the first year work plan. The workshop will generate an inception report that will be presented and approved by the ESC and FAO.

The National Coordinator and FAO will provide inputs to the Annual Report for each year of implementation. The National Coordinator and the M&E Specialist will ensure that the indicators in the results framework are monitored annually. The Annual Reports will be shared with the ESC and other stakeholders. The annual performance reports will be due at GCF 60 days after the end of each calendar year. The final project annual report and the terminal evaluation report will serve as the final project report package.

## **Evaluation Process.**

In accordance with the Accreditation Master Agreement (AMA) between FAO and GCF, the FAO Office of Evaluation will be responsible for the independent interim and final evaluations. The evaluations will be conducted using a question-driven approach, and may include assessments against the criteria of relevance, effectiveness and sustainability, among others. The interim evaluation will be instrumental in contributing – through operational and strategic recommendations – to improve implementation, setting out any necessary corrective measures for the remaining period of the project in order to achieve the results. The final evaluation will assess the relevance of the intervention, its overall performance, as well as sustainability and scalability of results, differential impacts and lessons learned. The evaluation should also assess

the extent to which the intervention has contributed to the Fund's higher-level goal of achieving a paradigm shift in adaptation to climate change in Cuba. The evaluation will draw on mixed-methods, using qualitative methods (e.g. participatory rural appraisal) in combination with counterfactual analysis, depending on the existence of reliable control group data from the project's baseline and endline surveys. In addition to primary data collected by the evaluators and secondary national data, both interim and final evaluations will draw on the monitoring reports and activities prepared by project staff. Attention will be drawn in assessing how the project developed capacities within the three dimensions enabling environment, organizations and individuals. This will be important to ensure the sustainability, scalability and replicability of the project over time.

The interim evaluation will be undertaken when delivery reaches 50% of the initial total budget or mid-point of scheduled project duration. The independent Final Evaluation will be launched within six months prior to the actual completion date (NTE) of the project.

### **Methodologies for monitoring and reporting of the key outcomes of the project.**

An overview of the methodologies for monitoring and reporting of the key outcomes of the project will be elaborated in a detailed Monitoring Plan that will be included as part of the Project Inception Report. The first activity will be to verify and update the baseline information included in this proposal (see Annex B Feasibility Study). Monitoring activities will be overseen by the PMU's M&E Specialist. Monitoring of impacts and results will be guided by the Logic Framework, which will be the basis for a Performance Management Framework. Monitoring of results will take place on a quarterly basis, with the TOUs providing input to the M&E Specialist.

Monitoring the progress toward expected outcomes will be supported through a series of studies to be undertaken in the third and fifth year of implementation, listed below:

Outcome A5.0: Strengthened institutional and regulatory systems for climate-responsive and low-emission planning and development - institutional strengthening and territorial governance

Outcome A7.0: Strengthened adaptive capacity and reduced exposure to climate risks

Outcome M9.0: Improved management of land or forest areas contributing to emissions reductions

Progress toward Outcome A5.0 will be monitored by tracking the number of policy instruments and incentive mechanisms that enable climate change adaptation that are developed and presented to the national government for discussion and policy dialogue.

The farm plans will provide information for monitoring and reporting on Outcome A7.0. Monitoring of the implementation of farm plans by beneficiary farmers (sex-disaggregated) will enable the tracking of uptake of climate resilient agricultural practices within agroforestry and sylvopastoral systems. The farm plans will include clear and precise indicators for soil quality, water availability, production quality and quantity, number of trees planted, crop phenology, weather behavior, and the incidence of extreme climate events, such as droughts and floods, among others. MINAG technicians will gather this information once a month with the assistance of community extension agents. In-depth analysis in the third year of the project of the results of demonstration farms will enable tracking of food production, for consumption and for market; increases in or maintenance of crop yields during extreme weather events; improvements in water regulation in production

landscapes; uptake of rainwater harvesting activities, use of water purifying filters, improvements in water quality. To corroborate the information, measurements will be made in the farms to verify the information collected in the plans.

The methodologies to quantify Outcome M9.0 will focus on measurement of the area of degraded land and the expected tCO<sub>2</sub>-eq sequestered through activities of the project. GIS, such as aerial and satellite imagery, as well as specialized software programs to generate maps, will be used to measure forest areas and trees on farms. MINAG will work with the the PMU's Monitoring and Evaluation Unit, to show how the project has increased or decreased forest cover. FAO's EX-ACT tool will be used to determine the tCO<sub>2</sub>-eq sequestered because of project activities. These measurements will be undertaken at the mid-point of the project (third year of implementation) and after Project is completed (sixth or seventh year after the start date of the project).

Also, the following points of interest are to be considered as part of the M&E: i) On the first year of the project, during the implementation of the baseline study (during which the baseline values given in the results framework will be completed and validated), two groups will be defined: a) group of direct beneficiaries, and b) control group; to mark the initial situation of the direct beneficiaries. Subsequently, the monitoring system will be established to record the changes that will arise during the implementation of the project, ii) the monitoring and evaluation will focus on the measurement of the results attributable to the project as a consequence of the implementation of measures and practices for adaptation to climate change. As well as, the impact on the harmonization of policies at territorial level, iii) Based on farm plans and adaptation practices outside farms the lines of action for monitoring and evaluation will be established to collect qualitative and quantitative information and evaluate the effect of actions in the process of adaptation to climate change. In this process, the project will directly involve the beneficiary producers as key actors in the execution, monitoring and evaluation process, and iv) The project will have monitoring and evaluation specialists who will be responsible for the preparation of the means of verification (surveys and analysis) and internal and external coordination (stakeholders). The project will be supported by the computer system developed and used by MINAG that will complement FAO's tools and methods; for which, the project will support a process of updating and adapting through the creation of modules that will be necessary to respond to the dynamics of it. The results of the monitoring process will serve as a basis for the evaluation processes of the project and the decision making for the incidence in public policy.

At the end of the project, an external evaluation of the impact of the project is expected. With this evaluation, the magnitude of the impacts and the determination of the causal factors underlying the impacts will be identified and quantified.