Food and Agriculture Organization of the United Nations

Annex 11

Monitoring and Evaluation Plan

For the GCF-FAO Project "Climate Resilient Agriculture in Somalia (Ugbaad)"

1. Scope and objectives

This annex describes the project's Monitoring and Evaluation (M&E) system including activities, processes, flows of information and resources. The M&E system is conceived as a dynamic, efficient, participatory and transparent scheme, designed to ensure smooth communication between project stakeholders, executing entities and project management teams, and to enable accurate and timely reporting on results. It is an adaptive management tool that informs the Technical Advisor and the National Project Coordinator, the M&E officer and the different actors involved on how project implementation is going and serves as a decision-making tool when and if corrective measures are needed.

Its **objectives** are to:

i) be used as an annual planning tool;
ii) monitor the implementation of project activities and report in due time on progress;
iii) report on achievements in quantitative and qualitative terms to the different stakeholders and donors;
iv) evaluate the quality of project outputs and likelihood of achievement of outcomes;
v) support knowledge management and sharing, policy dialogue, sustainability, upscaling and replication by capturing successes, innovations, lessons and implementation challenges; and
vi) support project management decisions and allocation of resources and activities by monitoring the progress of implementation of activities and achievement of targets.

2. M&E Plans

2.1 Monitoring

Project management, supervision and day-to-day monitoring will be carried out by the Central Project Implementation Unit (CPIU) with the support of FAO-Somalia and information flows from each EE. Monitoring will ensure that: (i) project deliverables and outputs are produced in accordance with the project results framework and leading to the achievement of project outcomes; (ii) project outcomes are leading to the achievement of the project objective; (iii) risks are continuously identified and monitored and appropriate mitigation strategies are applied; and (iv) agreed project climate-related benefits are being delivered. The data collection tools will be developed based on the indicators at the different levels of results. The table below shows data sources, type of tools, and frequency of data collection on the basis of the project's results framework.

Programme/ Projects Results	Data/Source	Collection Tool	Frequency	Indicator	Indicative Budget
ARA1 Most vulnerable people and communities	Annual Progress reports from interventions and regular monitoring Project updates and beneficiary registration forms	Document review	Annual	Core 2: Direct and indirect beneficiaries reached	623,593 (overall the project information managemeyt system, including staff/consultant time) + 270,000 (surveys) at baseline, midline and final
ARA2 Health, well-being, food and water security	Annual Progress reports from interventions and regular monitoring Project updates and beneficiary registration forms	Document review	Annual	Core 2: Direct and indirect beneficiaries reached	
ARA1 Most vulnerable people and communities	Annual Progress reports from interventions and regular monitoring Project updates and beneficiary registration forms	Document review	Annual	Supplementary 2.1: Beneficiaries (female/male) adopting improved and/or new climate-resilient livelihood options	

ARA2 Health, well-being, food and water security	Annual Progress reports from interventions and regular monitoring Project updates and beneficiary registration forms	Document review	Annual	Supplementary 2.3: Beneficiaries (female/male) with more climate-resilient water security	
ARA1 Most vulnerable people and communities	Annual Progress reports from interventions and regular monitoring Project updates and beneficiary registration forms	Survey/question naire	Annual	Supplementary 2.4: Beneficiaries (female/male) covered by new or improved early warning systems	
ARA3 Intrastructure and built environment	Annual Progress reports from interventions and regular monitoring	Field observation visits	Annual	Core 3: Value of physical assets made more resilient to the effects of climate change and/or more able to reduce GHG emissions	
ARA4 Ecosystems and ecosystem services	SWALIM, earthmap Landscape Committee Reports, physical observation	GIS data	Annual	Core 4: Hectares of natural resources brought under improved low-emission and/or climate-resilient management practice	
Outcome 1: Restored landscapes are resilient and sustainably managed	SWALIM, earthmap	GIS data	Annual	Change in land productivity dynamics, disaggregated by Site	N/A (reporting from technical specialists under this output)
Output 1.1 Improved participatory landscape and natural resources management and governance are established at watershed and village levels	SWALIM, earthmap	GIS data	Annual	ha of land under planning	N/A (reporting from technical specialists under this output)
Output 1.2 Agricultural and Agropastoral Landscapes are restored and under sustainable management	Landscape Committee Reports, physical observation (SWALIM)	Other (please specify)	Annual	ha of land under restoration	N/A (reporting from technical specialists under this output)
Outcome 2: Local livelihoods are resilient to climate change	Beneficiaries records, mid-term and final evaluations surveys and technical evaluations Household surveys	Survey/question naire	Annual	# of people adopting improved and/or new climate resilient livelihoods options disaggregated by gender/site	270,000 (surveys) at baseline, midline and final

Output 2.1 Resilient water supply is secured and sustainably managed	Physical observation	Field observation visits	Annual	# of ha covered by resilient water supply	N/A (reporting from technical specialists under this output)
Output 2.2 Locally-specific Climate Resilient Agriculture practices are adopted	Beneficiaries records, training records	Survey/question naire	Annual	# of people trained in locally specific CRA practices	N/A (reporting from technical specialists under this output)
	Project annual progress reports, Training records	Document review	Annual	Number of field extension officers and lead farmers capacitated as FFS facilitators	N/A (reporting from technical specialists under this output)
Output 2.3 Additional income for farmers is derived from climate resilient value chains	Sales registries, training reports, household surveys	Survey/question naire	Annual	# of people deriving increased income (at least 15%) from value added in the climate resilient value chains	270,000 (surveys) at baseline, midline and final
Outcome 3 An improved institutional enabling environment for sustainable landscape management and climate resilient agriculture is in place at State and Federal Levels	Policy documents	Government data/records	Annual	# of institutional frameworks and coordination mechanisms updated on the basis of climate risk information	N/A (reporting from technical specialists under this output)
Output 3.1 Legal frameworks and implementation modalities for NRM and CRA are improved	Policy documents	Government data/records	Annual	# of legal frameworks and enforcement modalities improved	N/A (reporting from technical specialists under this output)
	Project annual progress reports Training records	Document review	Annual	# of government staff trained	
Output 3.2 Increased Access to Climate Information Among Last Mile Users	Platform data	Other (please specify)	Annual	# of people accessing improved climate information services	N/A (reporting from technical specialists under this output)
Co-benefit 1: Reduced GHG emissions from AFOLU sector	EX-ACT	Other (please specify)	Mid and final Evaluation	GHG emissions reduction	To be done by technical specialists
Co-benefit 2: Improved access to nutrition	Household Surveys using FIES or RIMA methodology	Survey/question naire	Mid and final Evaluation	# of people with improved access to nutrition.	270,000 (household surveys)
Monitoring of ESMF/ ESMP	Data/source: Environmental and Social Management Screening, assessment and Plan	Other (please specify)	Annual	Risk mitigation actions identified in the screening, assessment, and ESMP(s)	1,675,970 (including safeguards related specialists)
	Data/source: Grievance log	Other (please specify)	Continuous	Number of grievances	

				received and resolved	
Monitoring of GAP	Project annual progress reports Training records	Document review	Annual	Indicators as specified in Annex 8: GAP	686,796 (including gender related specialists)
Workshops and learning events					105,000
Local travel for monitoring					848,290
Cost for data generation and collection not covered by AE fee					39,000
Analyst for impact assessment					79,200
1.5% MV commission for all payments made through the Monvery Vendors					32,305
Total (USD)					**4,360,155**

Surveys

A study is foreseen in activity 1.1.1 during the first year of the project that will characterize land degradation, land use and livelihoods. The study will link land cover, soil types, and areas affected by land degradation to climate parameters such as main land use (livelihood zones), mean annual rainfall, temperature, and types of soil erosion.

In addition to this study, the project will organize a baseline survey of project participants, a 3-year follow-up survey (midline, preceding the Interim Evaluation) and a 6-year follow-up survey (endline, preceding the Terminal Evaluation).

The objectives of the baseline survey are to;

- better understand the context and for evidence-based targeting (refine the targeting criteria);
- validate assumptions used in the logical framework;
- inform the project team if there is a need to revise the implementation workplan during the inception phase;
- inform if any emerging themes to be prioritized for monitoring during implementation;
- identify any initial learning; and
- set baseline values for all impact and outcome indicators in the logical framework.

The surveys will be deployed to representative samples of intended project beneficiaries and non-beneficiaries (comparison/control group) to assess baseline levels of project indicators, collect data on various elements of the project's theory of change, and assess the progress against each outcome and core indicators. The surveys will include specific, measurable, achievable, relevant, and time-bound (SMART) indicators, which will ensure tracking progress toward specific goals and objectives of the project and that are included in its theory of change. Following the geographical and household-level characteristics reflected in the targeting approach, the sample might be inclusive of the following types of beneficiaries:

- Demographic characteristics: : men, women, children, female headed households, elders and persons living with disabilities.

- Ethnic and cultural groups.

- Land and water users and livelihoods types: crop farmers, subsistence farmers, pastoralists, agro-pastoralists and processers.

The size of the sample selected will be determined during inception using standard power calculations and applying stratified sampling, where the beneficiaries will be divided into groups, and then random samples will be drawn from each group.

A sub-survey will also be circulated to government and institutional stakeholders, such as MoAI and MoECC staff, partners in the climate information services, media, private sector and financial institutions.

Data from the surveys and all other relevant project studies will be compiled into a consolidated project information management system (IMS) and indicator dashboard. The indicator dashboard will also monitor achievement of project deliverables along with deliverable-related indicators, and record date of completion. This data will feed into the interim and terminal evaluation.

The IMS will include a registry of beneficiaries which will be compiled by regional coordinating FAO offices during project activities. Data points will include, at least:

- Name, age, sex, disability

- Main occupation/livelihood

- Income level

- Participation in a group (FFS, coop, savings groups)

- Access to Water, Food and Nutrition (distance/time/diversity)

- Access to climate information (frequency/type/reliability/usefulness)

2.2 Evaluation

Mid-Term and final Evaluation reports

In accordance with the AMA between FAO and GCF, the FAO Office of Evaluation will be responsible for the independent evaluation, in line with the initial monitoring and accountability framework (MAF) for accredited entities (AEs) which requires all AEs to submit two important deliverables for all projects or programmes, these being the project mid-term (interim) and final reports. These are submitted to the GCF as per a timeline agreed upon by the Secretariat and the AE.

Both the mid-term and final evaluation reports must be consistent with GCF requirements as outlined in the GCF Evaluation Policy, Evaluation Standards, and Evaluation Operational Procedures and Guidelines.

Evaluation			
Type	Timing	Independent/Self-evaluation	Indicative Budget (US$)[1]
Formative	Baseline survey (Q2 Y1)	N/A (the baseline information will inform the mid-term and final evaluation)	169,150[2]
Outcome	Mid-term evaluation (Q3 Y4)	Independent	190,900
Summative	Final evaluation (Q3 Y7)	Independent	190,900
Total	-	-	550,950

2.3 Organization of the Monitoring and Evaluation system

Project-level monitoring and evaluation will be undertaken in compliance with FAO and GCF 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 changes, the contribution and the overall causal results of the project. This will include the implementation of: (i) a monitoring system to understand efficacy, targeting and verification of the assumptions that

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[1] The budget for data generation and collection is included.
[2] This budget includes the cost related to design of surveys and analysis of results.

the program is making; and (ii) a learning plan through which the results of the monitoring systems can feed back into the project implementation and planning Outcomes.

Project oversight will be carried out by the Central Project Technical Committee (CPTC), the Project Steering Committee (PSC), the Central Project Implementation Unit (CPIU) and relevant Technical Units in HQ. Oversight will ensure that: (i) project outputs are produced in accordance with the project results framework and leading to the achievement of project outcomes; (ii) project outcomes are leading to the achievement of the project objective; (iii) risks are continuously identified and monitored and appropriate mitigation strategies are applied; and (iv) agreed project climate-related benefits are being delivered. The data collection tools will be made on the basis of the indicators from the project's Results Framework (RF) and the Annual Work Plan and Budgets (AWPBs).

The following table describes the actors involved in the M&E system and their respective roles:

Level[3]	Stakeholder	Role and responsibility in the M&E system
Central Project Implementation Unit (CPIU) Level	Technical specialists	- Check reliability and provide final validation of the consolidated data in the M&E system for the respective component - Conduct specific field supervisions - Participate in data analysis - Contribute to activity reports and AWPB proposal at national level - Participate in capitalisation work and identify good practices, possible scaling up, and exchange opportunities
	Environmental & Social experts, Gender and Social Inclusion Specialist, Confict and Risk Management Officer, Indigenous People and Land Tenure Officer	- Check reliability and provide final validation of the consolidated data in the M&E system for the ESMF and GAP - Develop the project ESMP and associated implementation safeguards documents - Conduct specific field supervisions - Participate in data analysis, - Contribute to activity reports and AWPB proposal at national level
	M&E Officer, M&E Assistant	- Coordinates and supports the design of all M&E related tools and activities - Participates in the preparation of the M&E manual and updating - Coordinate baseline study and impact assessments - Controls data consolidation and quality assurance - Output of consolidated dashboards - Controls the quality of reports, project indicators and statistics - Launches, organizes and supervises the conduction of evaluations and surveys - Develop capacities of M&E system stakeholders - Coordinates with the communication consultant and monitors knowledge management processes - Supervises and organizes internal knowledge management to support implementation - Analyses monitoring data - Contribute to the preparation of quarterly and annual reports - Ensures availability and quality of data for all supervision, MTR and completion missions
	Information management, (GIS and IT) specialist	- Develops information database and indicator dashboard that allows for the collection and recording of verifiable data - Supports the use of GIS tools and analysis for project monitoring and targeting - Produce maps according to the needs of the project

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[3] The level refers to the reporting structure for the M&E system.

		- Centralizes all geo-referenced information and its use for the M&E system - Develops capacities of partners in use of tablets, GIS and phones for data collection and GIS points
	Admin and Finance Officer	- Enters financial data and matching with technical monitoring - Communicates and exchanges constantly with the M&E Officer to ensure good correspondence between technical and financial reporting - Participates in the formulation of the AWPB - Participates in the formulation of the M&E sheets and tools directly linked to the budgets.
	Knowledge Management and Communications specialist	- Analyze data from the M&E system ad reports, and identify possible knowledge products - Helps improving the different result and evaluation report and shares, communicates project results
	Technical Advisor, National Project Coordinator	- Performs the general supervision of the M&E system - Ensures the general monitoring of activities, beneficiaries and outcomes - Participates in data analysis - Coordinates baseline studies - Coordinates, organizes and (preliminarily) validates the AWPB - Ensures preparadness for supervision missions, as well as MTR and completion missions.
	M&E Assistant at field office level	- Participates in data analysis and data consolidation before centralization - Validates activity reports and AWPB proposal at branch level - Conducts capitalisation work - Is responsible for data transmission to M&E system and digital tools - Promotes coordination and development of synergies
	Reporting specialist	- Develop Annual Progress Reports (APRs) based on imput from other CPIU's members. - Ensure the progress is reported against the approved project proposal and budget
	Decentralized staff (MoECC, MoAI)	- Collect, enter and transmit digital data - Monitor and collect disaggregated data - Supervise and collect data on FFS - Participate in coordination and follow-up meetings - Participate in diagnostics for the preparation of the AWPBs - Provide quarterly and annual reports - Facilitate annual project surveys (involving contact with sample persons) - Provide all necessary data for supervision missions and consultation meetings at the level of the branches - Ensure the follow-up of field activities in consultation with the project team - Provide information for knowledge generation, and identify possible intra-regional exchanges - Contribute to data collection and field supervision
National	MoECC, MoAI	- Participates in supervision, mid-term and completion missions - Member of the SC
	Central Project Technical Committee (CPTC) & Regional Project Technical Committee (RPTCs)	- Provides technical advisory

	Project Steering Committee (PSC)	- AWPB revision and approval - Revision of project monitoring and evaluation reports, results and outcomes
	FAO Somalia	- Participates in steering and technical committee and supervision missions, and technical support mission - Gives AWPB no objection - Provides technical assistance - Participates in mid-term and final evaluations

3. Reporting

Project outputs will be monitored separately as well as in relation to the achievement of higher level project results and overall GCF goals. Reporting on results will be required as follows:

Project Inception Report
- A project inception workshop will be conducted in order 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, 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 of M&E meetings; and f) finalize the first year work plan. The workshop will generate an inception report that will be submitted to the GCF.

Project Progress Reports
- **Annual Progress Reports**. The Annual Progress Report will be a consolidation of the progress of achievements attained during the financial year. It assesses the overall performance of the project against set objectives. The annual progress report will be done by the Reporting Specialist, National Project Coordinator and Technical Advisor. The M&E Officers will ensure that the indicators in the results framework are monitored annually through the relevant tools and other procedures. The annual progress 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.
- **Technical Reports** will be prepared by consultants as part of project outputs (deliverables) and to document and share project outcomes and lessons learned. The drafts of any technical reports will be submitted to the CPIU as required in their Terms of Reference. The Lead Technical Officer (LTO) will be responsible for ensuring appropriate technical review and clearance of the reports. Copies of relevant technical reports will be distributed to project partners and the PSC as appropriate.
- **Annual Financial and Co–financing Reports:** FAO, with support from the CPIU, will be responsible for collecting the required information and reporting, on a semi-annual basis, on co-financing as indicated in the Funding Proposal.
- **Project Completion Report (Final APR):** Within two months before the end date of the project, and one month before the Final Evaluation, the CPIU will submit to the BH and LTO a draft Completion Report (Final APR). The main purpose of the Completion Report is to provide guidance at the ministerial or senior government level on the policy decisions required for the follow-up of the project and to provide the donor with information on how the funds were utilized. The Completion Report is accordingly a concise account of the main products, results, conclusions and recommendations of the project, without unnecessary background, narrative or technical details. The target readership consists of persons who are not necessarily technical specialists but who need to understand the policy implications of technical findings and needs for insuring sustainability of project

results. The final APR report will be submitted by the AE, with input from all EE, to the GCF, no later than 6 months after technical completion of activities.