



FUNDING PROPOSAL TO THE GREEN CLIMATE FUND

– RELIVE –

REsilient LIVELihoods of vulnerable smallholder farmers in the Mayan landscapes and the Dry Corridor of Guatemala

ANNEX 11

MONITORING AND EVALUATION PLAN

MAY 2020

Republic of Guatemala

FPV11May15

Annex 11. Monitoring and evaluation plans

Monitoring				
Data/Source	Collection Tool	Frequency	Indicator	Indicative Budget
Outcome A5.0 Strengthened institutional and regulatory systems for climate-responsive planning and development				
Inter-governmental meeting report ¹	Government data/records	Annual Y1-7	A5.2 Number and level of effective coordination mechanisms	TBC ²
Outcome A6.0 Increased generation and use of climate information in decision-making				
Midterm and Final Evaluation report Published agrometeorological bulletins	Survey/questionnaire	Y4 and Y7	A6.1 Use of climate information products/services in decision-making in climate sensitive sectors	TBC ²
	Document review	Annual Y1-7		
Outcome A7.0 Strengthened adaptive capacity and reduced exposure to climate risks				
National livelihood survey ³ Midterm and Final Evaluation report	Survey/questionnaire Document review	Y4 and Y7 Annual Y1-7	A7.1 Use by vulnerable households, communities, businesses and public-sector services of Fund-supported tools instruments, strategies and activities to respond to climate change and variability	TBC ²
Midterm and Final Evaluation report Guatemala National Meteorological Institute report	Survey/questionnaire Document review	Y4 and Y7 Annual Y1-7	A7.2 Number of males and females reached by [or total geographic coverage of] climate-related early warning systems and other risk reduction measures established/strengthened	TBC ²
Outcome A8.0 Strengthened awareness of climate threats and risk-reduction processes				
Midterm and Final Evaluation report	Survey/questionnaire	Y4 and Y7	A8.1 Number of males and females made aware of climate threats and related appropriate responses	TBC ²
Training report	Document review	Annual Y1-7		

¹ The meeting report is part of an institutional reporting process coordinated by the Inter-Institutional Coordination Group and presented at the National Climate Change Roundtable

² To Be Confirmed. This will be determined during the inception workshop once the project start.

³ The National Livelihood Survey is conducted each 3 years by the National Statistics Institute

Evaluation			
Type	Timing	Independent/Self-evaluation	Indicative Budget
<i>Process</i>	Baseline, during inception of the project (carried out by FAO Guatemala)	Self-Assessment	100,000
<i>Process</i>	Every 6 months (carried out by FAO Guatemala)	Self-Assessment	612,181
<i>Process</i>	Mid-Term (Three years after the start of the project implementation)	Independent	120,000
<i>Impact</i>	Final (Within 6 months from the end of project implementation)	Independent	138,130

Brief description of the RELIVE Monitoring and Evaluation System

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. Particular attention will be placed in monitoring projects relevance to indigenous people.

The monitoring structure should allow adjustments and will rely on following building blocks : a database including a list of households defined by multiple criteria (such as level of vulnerability, cultural group, female headed household, climate change adaptation practices records, in farm production, household, etc.) income, resilience measures, the installation of hydro-climatic monitoring equipment, and training. Likewise, to ensure that the actions in the field are being implemented. Project sites will be geo-referenced.

FAO will commission to an external company the development of 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.

The Project Monitoring Unit will draft ToR for the studies and provide inputs and supervisions to baseline, mid-line and end-line in close consultation with FAO Office of Evaluation.

1. Evaluation process

In accordance with the 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. 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 Guatemala. 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 end-line 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. Careful attention will be paid to the disaggregation of data, results and outcomes by gender and cultural groups, considering the high percentage of indigenous peoples in the project area and the different level of vulnerability of project beneficiaries. The interim evaluation will be undertaken when delivery reaches 50% of the initial total budget and/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.