

Annex 11

Monitoring and Evaluation Plan

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Monitoring				
Data/Source	Collection Tool	Frequency	Indicator	Indicative Budget
<i>National Climate Outlook Forums (NCOFs) reports; NMHSs in the 5 countries</i>	<i>Other (please specify)</i>	<i>Baseline establishment in year 1, review of National Climate Outlook Reports on an annual basis thereafter</i>	A6.1 Use of climate information products/services in decision-making in climate sensitive sectors	<i>\$0 Coordinated by PMU staff with input from national EEs and NHMSs</i>
<i>Surveyed beneficiaries / island communities</i>	<i>Survey/questionnaire</i>	<i>Surveys conducted by the Programme among target beneficiaries in the 5 countries (in years 3 and 5 of the Programme).</i>	A7.2 Total geographic coverage of climate-related early warning systems and other risk reduction measures established/strengthened	<i>Monitoring consultant @ \$500 p/day for 150 days to design a Performance Monitoring and Evaluation Framework and conduct related surveys Travel costs for Monitoring consultant to each of the 5 countries @ \$ 5,000 ticket and DSA; Grand Total \$100,000</i>
<i>Surveyed beneficiaries/ island communities</i>	<i>Survey/questionnaire</i>	<i>Surveys conducted by the Programme among target beneficiaries in the 5 countries (in years 3 and 5 of the Programme)</i> <i>This will include monitoring i) the uptake of the information from the early warning systems and the changes that occur in the communities; ii) the implementation of the Environmental and Social Action Plan (ESAP); and ii) the implementation of the Gender Action Plan (GAP), including</i>	A8.1 Number of males and females made aware of climate threats and related appropriate responses	<i>Monitoring consultant @ \$500 p/day for 150 days to design a Performance Monitoring and Evaluation Framework and conduct related surveys with specific focus on gender responsiveness, uptake of CIEWS and environmental and social safeguards (ESS) Travel costs for Monitoring consultant to each of the 5 countries @ \$ 5,000 ticket and DSA; Grand</i>

		<i>the collection of lessons learned from the gender mainstreaming activities undertaken by the Programme.</i>		<i>Total \$100,000</i>
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Evaluation			
Type	Timing	Independent/ Self- evaluation	Indicative Budget
<i>Outcome</i>	Mid-term and Terminal	Independent	<i>1 Consultant to undertake Mid-Term Evaluation – MTE: 50 days @ \$500= \$25,000 Travel for a week to all 5 countries @ \$5000= \$25,000 -> Total @ \$50,000; Terminal Evaluation (TE): 100 days @ \$500=\$50,000 Travel for 2 weeks to all 5 countries @ \$10,000= \$50,000 -> Total @ \$100,000. Grand Total USD\$150,000</i>
<i>Process</i>	Mid-term and Terminal	Independent	<i>Process evaluation will occur in conjunction with outcome evaluation (budget as “outcome” above)</i>
<i>Impact</i>	Mid-term and Terminal	Independent	<i>Impact evaluation will occur in conjunction with outcome evaluation (budget as “outcome” above)</i>

Monitoring, reporting and evaluation arrangements

UNEP (the AE) will engage a consultant to design a performance monitoring and evaluation framework to track the Programme's progress towards achieving its targets. The Programme Coordinator in the PMU, under the oversight of the UNEP Task Manager, will be responsible for monitoring progress during Programme implementation as outlined in the monitoring and evaluation framework. This will be achieved by: i) measuring the indicators to assess the progress of the Programme in coordination with national EEs; ii) reporting the Programme's performance to the PSC and PMU based on inputs from national EEs. At key points (i.e. baseline, annual performance reports, mid-point and end of Programme) the PMU will coordinate evidence-gathering exercises to verify this progress. Programme targets¹ and results will be triangulated with baseline surveys that will be completed in the Programme's first year. All data collected for monitoring, reporting and evaluation processes will be sex- and age-disaggregated, where possible and/or relevant. Specific attention will be paid to ensuring gender responsiveness, uptake of climate and early warning information, and environmental and social safeguards (ESS).

In addition to the Programme monitoring and evaluation undertaken by the PMU team, activities will be monitored by the national EEs in each country. The PMU will support the five countries in enhancing human resources and expertise, aiming to have fully operational implementation units in each country within six months of the Programme's inception.

The PMU will then organise training for EEs in data collection and analysis, and on the Programme cycle, particularly on effective monitoring and reporting of activities. All training should take a strengths-based approach, both in the training process and in the principles and practices taught. These skills will be reinforced by follow-up training at least annually, to ensure that monitoring activities are collecting meaningful information and that the information is able to be used both for adjusting inputs throughout the implementation phase and for continuous evaluation of progress. During the Mid-Term Evaluation and Terminal Evaluation an evaluation consultant will validate a sample of the data collected through these monitoring tools.

EE field staff and programme-hired local consultants will also be trained to help implementing partners in their countries to assess the impact of their activities using methods that measure change over time and produce meaningful information. Some agencies and some staff members will have these skills, but in very small countries it should be assumed that all staff and local consultants will need professional development in monitoring and reporting with at least annual follow up training to reinforce learning.

EEs will submit semi-annual progress reports and quarterly financial statements to the PMU and the PMU will consolidate the reports and submit them to UNEP as the AE. In turn, UNEP will submit annual performance reports and semi-annual financial reports to GCF. The detailed reporting timelines are as follows:

Under the PCAs, each EE is to report to UNEP as follows:

- Progress reports: by 30 July for January to June;
- Annual Performance reports on or before 1 February;
- Quarterly financial reports by 15 January, 15 April, 15 July, and 15 October;
- Annual audited statements by 30 April;
- Final report: within 3 months of Programme completion.
- UNEP (AE) reports to the GCF:
- Annual Performance Reports by 1 March;

¹ For indicator A1.2, monitoring of the Mid-term and Final Targets will take into account uptake and implementation of recommended climate-resilient livelihood options and actions will be outlined in the Climate Sector Action and Communication Plans (to be developed under Activity 1.1).

- Semi-annual Financial Information by 1 March and 30 September;
- Mid-Term Evaluation report: halfway through Programme;
- Final APR: within 6 months of Programme completion;
- Terminal Evaluation report: within 12 months of Programme completion.

Monitoring will also be undertaken by the AE through supervision visits and field missions to track implementation progress and challenges and strategically plan the way forward. The Programme reporting relationships, including frequency of reporting, between AE (UNEP) and EEs and other partners in the Programme, are described in section B.4. UNEP will be responsible for managing the Mid-Term Evaluation and the Terminal Evaluation (TE). The Task Manager will oversee the process of hiring an external consultant to carry out the Mid-Term Evaluation, which will provide an assessment of programme performance at the Programme's mid-point. This will be a formative exercise and will cover whether the Programme is on track, what problems and challenges the Programme is encountering, and what corrective actions are required so that the Programme can achieve its intended outcomes by Programme completion in the most efficient and sustainable way. The Programme Steering Committee (PSC), National Coordination Committee (NCC) and the five National EEs will participate in the Mid-Term Evaluation process and contribute to a management response to the Review's recommendations, with an implementation plan. The PMU will monitor the implementation of agreed recommendations during the remainder of the Programme's implementation. It is the responsibility of the UNEP Task Manager to monitor whether the agreed recommendations are being implemented during the remainder of the Programme's operational life.

UNEP's Evaluation Office (EO) will be responsible for undertaking the independent Terminal Evaluation (TE) at the end of Programme implementation, which is a summative evaluation, and will liaise with the UNEP Task Manager throughout the process. An independent assessment of programme performance against standard evaluation criteria (e.g. strategic relevance, effectiveness, efficiency, likelihood of impact and sustainability) will be made based on documentary evidence, stakeholder interviews and, if possible, a field mission. Each evaluation criterion will be rated using a six-point rating scheme. and a weighted average will be determined to provide an overall performance rating for the Programme as a whole. Where there are any differences in ratings between the independent evaluation consultant and the Evaluation Office a final determination will be made by the Evaluation Office when the Terminal Evaluation report is finalised. The draft TE report will be sent to Programme stakeholders during a commenting process managed by the Evaluation Office. Formal comments on the report will be shared by the Evaluation Office in an open and transparent manner. This evaluation report will be publicly disclosed and will be followed by a recommendation compliance process.

The costs for results monitoring and performance evaluation are included in the Programme budget.