

Annex 11

Monitoring and evaluation plans

PREFOREST CONGO - Project to reduce greenhouse gas emissions from forests in five departments in the Republic of Congo

Monitoring				
Data/Source	Collection Tool	Frequency	Indicator	Indicative Budget
Output 1.1. Enabling actions in place	Document review	Two times Y1-2	Number of participatory mapping developed with the support of the project.	<i>TBC¹</i>
Output 1.2. Land access and security rights of beneficiaries strengthened	Field observation visits	Annual Y5-8	Number of hectares for which a land title was obtained	<i>TBC¹</i>
	Field observation visits	Annual Y5-8	Number of hectares converted to agroforestry, forestry and agricultural systems	<i>TBC¹</i>
	Field observation visits	Annual Y5-8	Number of hectares allocated to beneficiaries in the PRONAR blocks	<i>TBC¹</i>
	Key informant interviews	Two times, Y4-Y8	Percentage of women who have obtained a land title	<i>TBC¹</i>
Output 2.1. Fast start forestry systems for energy purpose are established	GIS data	Two times, Y4-Y8	Number of hectares established that will contribute towards GHG emission reduction and/or carbon stock enhancement	<i>TBC¹</i>
Output 2.2. Low emission, climate-resilient agroforestry and forestry systems are established	GIS data	Two times, Y4-Y8	Number of hectares established that will contribute towards GHG emission reduction and/or carbon stock enhancement	<i>TBC¹</i>
	Key informant interviews	Annual, Y4-8	Number of producers using climate-resilient agroforestry and forestry systems	<i>TBC¹</i>
	Key informant interviews	Annual, Y4-8	Percentage of women using climate-resilient agroforestry and forestry systems	<i>TBC¹</i>
Output 2.3. Nurseries are rehabilitated and forest are restored	Field observation visits	Annual, Y2-8	Number of hectares of land and/or degraded forest restored by means of assisted natural regeneration or protected	<i>TBC¹</i>
	Key informant interviews	Annual, Y2-8	Percentage of women who benefited from restoration activities	<i>TBC¹</i>
Output 2.4. Support for the upscaling of climate-resilient agroforestry and forestry models is provided	Field observation visits	Annual, Y2-5	Number of new climate-resilient agroforestry and forestry models developed according to the climate conditions in Congo	<i>TBC¹</i>
Output 3.1. Beneficiaries of climate-resilient agroforestry	Key informant interviews	Annual, Y3-8	Number of producers trained and benefiting from a business plan to	<i>TBC¹</i>

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

and forestry systems are supported in developing and implementing robust and bankable business models			implement climate-resilient agroforestry and forestry systems	
	Key informant interviews	Annual, Y3-8	Percentage of women producers trained and benefiting from a business plan	<i>TBC</i> ¹
Output 3.2. The capacities of national credit institutions (banks and microfinance institutions) are strengthened in order to increase their credit activities in the climate-resilient agroforestry and forestry sectors and support the backed initiatives	Key informant interviews	Annual, Y2-8	Number of banks and microfinance institutions trained and supported in increasing their credit activities in the agroforestry and forestry sectors	<i>TBC</i> ¹
Output 3.3. A credit granting programme better suited to the context is created to support initiatives at different stages of their development (production, processing, transport, marketing)	Key informant interviews	Annual, Y3-8	Number of beneficiaries with access to formal financial services	<i>TBC</i> ¹
	Key informant interviews	Annual, Y3-8	Percentage of women with access to formal financial services	<i>TBC</i> ¹
	Document review	Annual, Y3-8	Credit volume received by project beneficiaries	<i>TBC</i> ¹
	Document review	Annual, Y3-8	Credit volume received by women project beneficiaries	<i>TBC</i> ¹
Output 3.4. Market access by initiators beneficiaries is improved by the implementation of purchase agreements and local market platforms	Document review	Two times, Y1-Y2	Number of purchase agreements and sales platforms created	<i>TBC</i> ¹
	Key informant interviews	Annual Y2-8	Percentage of women benefiting from purchase agreements and sales platforms	<i>TBC</i> ¹

Evaluation			
Type	Timing	Independent/Self-evaluation	Indicative Budget
<i>Process</i>	Baselines at the start of the Project (done by FAO-Congo)	Self-Assessment	250,000\$
<i>Process</i>	Every six months, (done by FAO-Congo)	Self-Assessment	250,000\$
<i>Process</i>	Interim (four years after the Project start)	Independent	125,400\$
<i>Process</i>	Final (six months before Project completion)	Independent	165,000\$

Brief description of the monitoring and evaluation system of the Project PREFOREST-Congo

Monitoring

A dedicated Project unit, comprising a National Monitoring and Evaluation Specialist, the Project Coordinator, thematic specialists and Project field staff, will be responsible for the design of a complete

M&E system. The theory of change, refined and validated during the Project launching workshop, will be used to identify the pathways of impact and develop and to identify key indicators for monitoring, data needs, prioritizing the stages of data collection and provide a structure for data analysis and reporting.

The Project's components will be monitored separately, as well as in relation to the achievement of the overall results and global objectives of the GCF. The Project should pay attention to monitoring the differential impacts by gender, age and vulnerability. Particular attention will be paid to monitoring initiatives concerning indigenous populations.

The monitoring framework should be flexible to adjustments and will be based on the following constituent elements: a database comprising a list of households defined by several criteria (such as the household headed by a woman, records of agroforestry practices, agricultural production, etc.). Similarly, to ensure the implementation of actions in the field, the Project sites will be georeferenced.

Monitoring of forest carbon stocks. Monitoring of reductions in forest carbon emissions will be carried out by the CNIAF in close collaboration with the PMU and FAO forest monitoring experts. Use will be made of the country's National Forest Monitoring System: Monitoring and Measurement, Reporting and Verification (NFMS - M & MRV), developed in recent years with support from the UN-REDD programme and the FCPF. Emissions will be monitored based on historic emissions analyzed for the 13 districts during the Project preparatory phase, established over the period 2000-2016. Through the NFMS - M & MRV, Congo will monitor national forest cover every two years by producing maps and evaluating activity data. The Project monitoring and evaluation system, particularly in terms of quantities of carbon reduced/avoided, will be anchored to the NFMS - M & MRV. At the beginning of the Project, during the development of the baseline (within the context of the impact evaluation), the CNIAF and PMU will establish a forest reference level (FRL) for the Project area, using updated forest cover loss statistics. This FREL will be used to monitor reductions in GHG emissions in the Project area. On top of the use of the EX-ACT tool, this FREL will be used to monitor reductions in GHG emissions in the Project area.

Monitoring of gender. The implementing entities will be responsible for implementing and monitoring a Gender Action Plan (GAP) with the support of the PMU. The Project Gender Specialist, who will act as an occasional expert to support the PMU, will be responsible for supervising all Project activities related to gender, particularly updating of the GAP and coordinating its implementation by all implementing entities. The Project will work in close collaboration with the Ministry for the Promotion of Women and the Integration of Women in Development for the appropriation of project activities related to gender, monitoring and sustainability.

Data disaggregated by gender will be collected whenever relevant and gender-specific and gender-sensitive indicators will be integrated in the PPMS. Data disaggregated by gender will specifically focus on activities related to the specific objectives of the GAP, for which reliable data sources for monitoring are available at the level of the retained districts.

Monitoring of environmental and social safeguards. On the basis of the GCF checklist for rapid evaluation of environmental and social impact, the Project is globally classified in the category "Moderate" using the FAO risk classification, or category "B" using the GCF environmental and social policy. It was therefore necessary to develop an Environmental and Social Framework for the Project (ESF). The ESF describes the necessary measures to guarantee that potential environmental impacts are identified, avoided, reduced and mitigated in line with the requirements of the FAO and GCF as well as the national laws and regulations. It consists of mitigation, monitoring and reporting measures and communication with stakeholders before, during and after implementation of the Project. Ultimately, this framework, will be used as an anchor for initiators, who will need to develop an Environmental and Social Management Plan (ESMP) in order to obtain Project support.

The PMU will be responsible for monitoring implementation of the ESF and ESMPs, but ultimately, responsibility will be shared with the beneficiaries, who will need to ensure compliance with the ESF environmental and social safeguards during implementation and reporting. The PMU will monitor the

beneficiaries. The Environmental and Social Safeguard Specialist (ESSS) contracted by the PMU, will analyze and classify beneficiary initiatives using FAO categories (low, moderate, high) and the corresponding GCF categories (C, B and A). He or she will then develop a corresponding environmental and social management plan. For initiatives in category “low” or “C”, he or she will produce a summary of environmental implications. Initiatives with “high” risks will not be supported by the Project. At district level, the PMU will ensure that: (i) the ESMP results are communicated locally; (ii) the ESMP reports are submitted to the Technical Committee and Steering Committee for review and authorization, unless exempted; (iii) the ESF measures are incorporated into contracts with beneficiaries and that the service providers provide the required environmental monitoring, compile reports, and play their assigned roles in the grievance settlement mechanism.

In order to support the work of the ESSS, the Technical Committee will establish subcommittees with a support mandate in order to validate methodologies and provide advice on the different environmental and social issues to be taken into account. Furthermore, the Project may retain specialized service providers to conduct periodic field verifications in order to validate compliance with the environmental and social management plans developed by the initiators.

Monitoring of CAFI Letter of Intent (LoI) objectives, milestones.

PREFOREST project will support reaching objectives and milestones of the LoI signed with CAFI. PREFOREST will report to CAFI on its results contributing to the objective of the LoI. A specific methodology for monitoring and reporting on the LoI will be defined in the framework of governance programme supported by CAFI that will be discussed with PREFOREST PMU to ensure its faisability. Among objectives & milestones that are concerned by the program, the following have to be considered:

Objectives

1. Land Use planning: contribution to non conversion of HCS/HVC forests
2. Secure land tenure
3. Sustainable agricultural development
4. Promotion of sustainable fuelwood and energy
5. Strengthening of governance & financing

LoI Milestones

2.4 In the specific case of individual, community and industrial agro-forestry plantations in natural forest areas and/or in the PFE and in savannah areas, 7 land tenure security and management measures are tested to be integrated into the regulatory frameworks governing land use planning, land tenure and the forest and agricultural sectors.

7.1 The sectoral energy policy favouring sustainable alternatives to the consumption of fuelwood from non-renewable resources is implemented, in particular:

- Gas supplies are increased and the populations' access to them is facilitated;
- The establishment of forest plantations for the production of fuelwood and the use of improved cookstoves are encouraged; and,
- Energy supply master plans for Brazzaville and Pointe Noire are developed, validated and implemented.

7.2 An analysis of fuelwood and gas consumption and their supply chain for the cities of Brazzaville and Pointe Noire is conducted, identifying potential alternatives that can reduce the need for non-renewable fuelwood.

8.2 The modalities for mobilizing domestic funds, both public and private, are identified and set up to co-finance implementation of the measures necessary to achieve the objectives of the Letter of Intent, the Investment Plan of the National REDD+ Strategy and the revised NDC including the LULUCF sector.

Reporting

The PMU will produce for the Steering Committee and, more specifically, the FAO: (i) Monthly progress reports in a format compatible with the GCF's Performance Measurement Framework; (ii) Consolidated

biennial and annual reports including: a) Progress made per product, measured using performance indicators, b) The main implementation problems and solutions, c) An updated purchase plan, d) An updated plan for the next 12 months; and (iii) A Project completion report in the six months following physical completion of the Project activities.

In order to ensure the financial viability and sustainability of the Project, the Project's bank account, financial statements audited by the FAO, as well as the corresponding report from the independent auditor will be closely examined.

Evaluation (interim and final)

To provide an external viewpoint on the progress of the Project and the achievement of its objectives, and in line with the AMA signed with the GCF, the FAO Office of Evaluation (OED) will conduct two project evaluations, a preliminary review (interim) and a final review.

Interim evaluation. An interim evaluation will be conducted by an FAO multidisciplinary team 48 months after entry into effect of the grant agreement. This review will provide a complete evaluation of performance in terms of the targets and indicators of the logical framework, as well as the implementation procedures. It will identify weaknesses, if applicable, and recommend any changes needed to strengthen the implementation provisions or amend the Project design. During this review, there will be specific emphasis on the impact of the Project's activities on women and the most disadvantaged.

Final evaluation. A final Project evaluation will be conducted by an FAO multidisciplinary team approximately 6 months after the end of activities in order to produce the final Project report for submission to the GCF. This final review will: (i) Evaluate project performance in terms of the objectives, targets and indicators (including any revisions from the interim review); (ii) Evaluate the benefits and impacts of the project for all products; and (iii) Identify incomplete activities and agree on necessary actions to confirm compliance with the FAO and GCF requirements and the grant agreement.

The evaluations will be conducted using an issue-based approach and may include evaluations using general criteria of relevance, efficacy and sustainability, as applicable. Through operational and strategic recommendations, the interim evaluation will contribute towards improved implementation by defining any corrective measures needed for the remaining Project period. The final evaluations will assess the relevance of the intervention, its overall performance, as well as the sustainability and scaling up of the results obtained and the lessons learned. The evaluations will be based on a detailed evaluation methodology including the use of different evaluation methods and tools. In addition to the primary data collected by evaluators and the secondary national data available, the interim and final evaluations will be based on monitoring activities and reports prepared by project staff, including surveys to be implemented at baseline, interim and project completion.

The costs of the monitoring, reporting, impact assessment and evaluations are presented below.

Monitoring	
<i>Cost item</i>	<i>Sub-total</i>
M&E expert	\$ 298,001.00
Environmental, social, gender and indigenous people expert	\$ 298,001.00
Consultations for (and oversight of) environmental, social and indigenous people aspects	\$ 284,000.00
National missions	\$ 40,000.00

Gender expert	\$ 55,893.00
Mission for gender expert	\$ 33,000.00
MRV activities	\$ 166,400.00
MRV expert	\$ 198,000.00
<i>Sub-total</i>	\$ 1,373,295.00
Evaluation	
<i>Cost item</i>	<i>Sub-total</i>
Project performance evaluation cost	\$ 290,400.00
Total	\$ 1,663,695.00