

Annex 11:

Monitoring and Evaluation Plan

07 September 2022

This Monitoring and Evaluation Plan have been prepared for The Pacific Community (SPC), to inform the project design of the Green Climate Fund (GCF) Funding Proposal titled: *Enhancing Adaptation and Community Resilience by Improving Water Security* in Vanuatu.

This project will deliver adaptation action for Vanuatu's water infrastructure and community users and will ensure gender mainstreaming in the paradigmatic shift being proposed.

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1. Monitoring and Evaluation System

This table indicates the monitoring part of the overall plan, with data sources, collection tools, frequency of data collection and collation, against identified indicators and indicative budgets.

Within Output 3.3 the project will establish a robust monitoring tools and process focused on climate resilient water management throughout Vanuatu. These tools will be used throughout the project to monitor implementation and track progress towards the delivery of outputs, outcomes and impacts.

Monitoring				
Data/Source	Collection Tool	Frequency	Indicator	Indicative Budget (reference to Annex 4 budget notes)
GCF Outcome level: Reduced emissions and increased resilience				
Annual reporting based on monitoring and verification, national surveys, WHO/UNICEF's JMP survey, and independent interim and final evaluations	Survey / questionnaire Government/data record	Annual	<u>ARA1 Most vulnerable people and communities</u> <u>Core 2: Direct and indirect beneficiaries reached</u>	Budgeted under evaluations and output level monitoring
Annual reporting based on monitoring and verification, national surveys, WHO/UNICEF's JMP survey, and independent interim and final evaluations	Survey/questionnaire Government data / records	Annual	<u>ARA2 Health, well-being, food and water security</u> <u>Supplementary 2.3: Beneficiaries (female/male) with more climate-resilient water security</u>	Budgeted under evaluations and output level monitoring

Monitoring surveys and reports Engineering reports on completion of constructions	Survey/questionnaire Document Review Government data / records	Annual	<u>ARA3</u> <u>Intrastructure and built environment</u> <u>Core 2: Direct and indirect beneficiaries reached</u>	Budgeted under evaluations and output level monitoring
Financial tracking Annual reporting based on monitoring and verification, national surveys, independent interim and final evaluation	<i>Public expenditure reporting</i> <i>Survey/questionnaire</i> <i>Government data/records</i>	Annual	<u>ARA3</u> <u>Intrastructure and built environment</u> <u>Core 3: Value of physical assets made more resilient to the effects of climate change and/or more able to reduce GHG emissions</u>	Budgeted under evaluations and output level monitoring
GCF Outcome level: Enabling environment				
Financial tracking expenditures Training reports Annual progress reports	<i>Public Expenditure Reports</i> <i>Government Data/records</i> <i>Document review</i>	Annual	<u>Core Indicator 5: Degree to which GCF investments contribute to strengthening institutional and regulatory frameworks for low emission climate-resilient development pathways in a country-driven manner</u>	Budgeted under evaluations and output level monitoring
Financial tracking expenditures Training reports Annual progress reports	<i>Public Expenditure Reports</i> <i>Government Data/records</i> <i>Document review</i>	Annual	<u>Core Indicator 6: Degree to which GCF investments contribute to technology deployment,</u>	Budgeted under evaluations and output level monitoring

			<u>dissemination, development or transfer and innovation</u>	
Project/programme specific indicators (project outcomes and outputs)				
Monitoring surveys and visits by the PMU submitted to the EE for quality assessment/verification against the indicator	<i>Government data/records</i> <i>Surveys/questionnaires</i>	<i>Quarterly, Y1-Y4</i>	<i>Percentage of new or updated DWSSPs that incorporate climate resilience</i>	\$14,400 (A5)
Implementation monitoring reports including assessment and summary of trainings	<i>Survey / Questionnaire</i> <i>Government data/records</i>	<i>Continuous, Y1-Y5</i>	<i>Number of training / KM events</i>	\$46,364(A1)
Reports from DWSSP facilitators on completed DWSSPs included in interim and final progress reports	<i>Survey / Questionnaire</i> <i>Government data/records</i> <i>Field observation visits</i> <i>Key informant interviews</i> <i>Focus groups</i>	<i>Quarterly, Y1-Y4</i>	<i>Number of communities, who developed new DWSSPs using updated methodology (though Output 1.1)</i>	\$129,000 (50% of A5 monitoring costs - The other 50% of cost in A5 is on evaluation data collection)
Monitoring reports provided by the PMU and quality assessed	<i>Government data/records</i> <i>Field observation visits</i> <i>Key informant interviews</i> <i>Focus groups</i> <i>Survey / questionnaire</i>	<i>Quarterly, Y2-Y5</i>	<i>Number of communities supported to construct, operate, and maintain climate-resilient water infrastructure</i>	\$156,000 (50% of B1 and B7 monitoring costs a - 50% of cost is on data collection covered by evaluation data collection)
Pre- and post-training self assessments self-assessments carried out by DoWR staff and assessed and collated by the M&E officer	<i>Survey / questionnaire</i>	<i>Continuous, Y1-Y5</i>	<i>Number of institutions Strengthened</i>	\$3,200 (5% of C1, 3.1.1 training costs for aggregating data for

				M&E Officer)
Monitoring reports provided by the PMU	<i>Government data/records</i>	<i>Annually, Y1-Y5</i>	<i>Data platform established, with robust knowledge management protocols</i>	\$88,209 (Output 3.3 costs from C1-3)
Data platform established and published online and verified by the EE.				

The ongoing monitoring of results described above will feed into project evaluation. This monitoring data will be supplemented through evaluations and specific activities for data collection related to:

- A start of project process evaluation which will build on the Theory of Change and the Results Framework to establish the evaluation framework by developing the criteria and standards for each indicator (dimensions of good performance) and determining the baseline through collection of data.
- A mid-term formative impact evaluation which will evaluate progress towards outcomes and impacts of the project at mid-term and will require collection of budget and analysis against data gathered at baseline.
- A final impact evaluation to determine the project outcomes, impacts and longer-term potential. This will require gathering of data and analysis against baseline and mid-term data.

This table indicates the evaluation part of the overall plan.

Evaluation			
Type	Timing	Independent/Self-evaluation	Indicative Budget
Impact	Baseline data collection for evaluations. Start of project	Independent	\$175,0500 (C2) and in country implementation
Impact	Data collection support for interim evaluation 2.5 years after the start of the project implementation	Independent	\$122,000 (C2)
Impact	Data collection support for final evaluation within 6 months of the end of project implementation	Independent	\$155,000 (C2)
Process	Annual data collection for evaluations	Self	\$312,000 (covered under 50% of A5, B1 and B7 costs associated with project staff time, travel and

			DSA regarding community level engagements for data collection to filter into evaluations
Costs assigned to the AE Fee for commissioning of independent evaluations as per GCF evaluation policy			
Interim evaluation	2.5 years after the start of the project implementation	Independent	\$75,000 (row 33 annex 12)
Final/terminal evaluation	within 6 months of the end of project implementation	Independent	\$100,000 (row 34 annex12)

2. Brief description of the Monitoring and Evaluation System

In its role as Accredited Entity, SPC CCES will oversee and supervise the implementation of this project, in accordance with the agreement signed between SPC and the GCF. SPC GEM, in capacity as EE, through the PMU will be responsible for project-level MEL and reporting in compliance with approved SPC policies and GCF requirements under relevant agreements. Further, SPC coordination between its CFU, Strategy, Performance and Learning (SPL) Team and the NPSC will provide supervision and technical assistance as needed to support the PMU implement tools and methods to monitor, evaluate and learn from the project activities.

In 2020, SPC along with the New Zealand Government Ministry of Foreign Affairs and Trade, and BetterEvaluation co-designed a participatory process to assess and understand the current MEL system and opportunities for capacity strengthening for projects in the region. This MEL system is informed by a set of principles: Pacific ownership, a strengths-based approach to capacity development, adult learning, and supporting situationally appropriate choices of MEL methods and processes. The MEL for the project will derive from this rebbilib (navigational chart) announced in conjunction with Pacific leaders and communities.

The logical framework contains performance indicators by outcome and outputs, which will be monitored by the PMU and regular (semi-annual) updates provided to the NDA, NPSC and SPC CFU and GEM during program implementation, under the leadership and guidance of the MEL officer. Additionally, the project will undertake rigorous KM and MEL exercises through Output 3.2 (knowledge management through data sharing mechanism established for climate-resilient water management) and Output 3.3 (monitoring, learning and evaluation framework established for improved learning for climate-resilient water management). Activities under these Outputs will improve the knowledge management platform (particularly the data portal) available in the country in line with GCF policies. Support will be provided to WASH sector partners to be able to employ data for decision-making.

A Monitoring and Evaluation and Learning Officer will be hired under the PMU to coordinate MEL across the project. This will include establishing M&E systems that are aligned with GCF, NDA and SPC policies and results framework. This MEL Officer will work together with the Project Manager under the guidance of the NPSC and the EE to develop a set of MEL tools, approaches and reporting arrangements for project activities. This will include annual performance reports and project closure reports. The training, coaching and support provided to beneficiaries of MEL capacity building will include capacity development in MEL, with a focus on how this can be used to maximize activity outcomes while building the evidence base for the results and impact of the initiative.

Monitoring will enable the PMU to make adjustments to respond to unexpected events during the implementation phase as well as to build trust and respond to stakeholders and affected communities. The scope, robustness, and frequency of project monitoring, and reporting will vary depending on the type of activities (as per section E above) and the significance of risks/impacts

identified through the screening process. In addition, monitoring requirements will take into consideration the circumstances in which the project takes place and is implemented.

For the CR-WASH infrastructure to be installed through the DWSSP processes, Rural Water Committees (RWCs) set up as local water governance mechanisms will conduct participatory monitoring, reporting and evaluation, which will be aggregated to provincial water governance bodies (consisting of Provincial Water Supervisor and Community Water Development Officers) for documentation, this will be shared DoWR Monitoring and Evaluation Unit and the MEL Officer in the PMU . Through access to this information the MEL officer will ensure that newly registered and existing DWSSPs are functional.

Finally, the CFU and GEM team will be jointly responsible for coordinating the independent interim and final evaluations of project activities for the GCF and coordinating the impact assessment. The evaluations and impact assessments will be conducted using a question-driven and quantitative data approach, and may include assessments against the criteria of relevance, effectiveness and sustainability, among others. The Mid-Term Evaluation will be instrumental in contributing (through operational and strategic recommendations) to improve implementation, setting out any necessary corrective and adaptive management measures for the remaining period of the project, and identifying relevant lessons learned for stakeholders in Vanuatu as well as the broader Pacific region. The final evaluation will assess the relevance of the intervention, its overall performance, as well as sustainability, replicability 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 Vanuatu. Both evaluations will contribute to the evidence base for adaptation to climate change in Vanuatu and across the Pacific region and will be published on the SPC website and other relevant platforms.