



Food and Agriculture Organization
of the United Nations

Annex 11

Monitoring and Evaluation Plan

For the GCF-FAO Project “Ecosystems-based Adaptation for resilient Watersheds and Communities in Malawi (EbAM)”

1. M&E Plan

a) Monitoring

Programme/ Projects Results	Data/Source	Collection Tool	Frequency	Indicator
<u>MRA4 Forestry and land use</u>	Ex-Ante Carbon balance Tool (Ex-ACT)	<i>Other (please specify)</i>	Mid an final Evaluations	Core 1: GHG emissions reduced, avoided or removed/sequestered
<u>ARA1 Most vulnerable people and communities and ARA2 Health, well-being, food and water security</u>	M&E progress reports and Kobo tool data extraction per sub catchment and region	<i>Other (please specify)</i>	Annual Monitoring and quarterly updates	Core 2: Direct and indirect beneficiaries reached
<u>ARA1 Most vulnerable people and communities</u>	Mid and final Evaluation surveys	<i>Survey/question naire</i>	Mid and final Evaluation	Supplementary 2.1: Beneficiaries (female/male) adopting improved and/or new climate-resilient livelihood options
<u>ARA2 Health, well-being, food and water security</u>	Mid and final Evaluation surveys	<i>Survey/question naire</i>	Mid and final Evaluation	Supplementary 2.2: Beneficiaries (female/male) with improved food security
<u>ARA4 Ecosystems and ecosystem services</u>	Progress reports and Kobo Tool data extraction	<i>GIS data</i>	Annual Monitoring	Core 4: Hectares of natural resources brought under improved low-emission and/or climate-resilient management practice
<u>ARA4 Ecosystems and ecosystem services</u>	Progress reports and Kobo Tool data extraction	<i>GIS data</i>	Annual Monitoring	Supplementary 4.1: Hectares of terrestrial-forest, terrestrial-non-forest, freshwater and coastal-marine areas brought under restoration and or improved ecosystems
Outcome 1.1 GHG emission reduction from improved watershed ecosystems	Ex-Ante Carbon balance Tool (Ex-ACT)	<i>Other (please specify)</i>	Mid an final Evaluations	Core 1: GHG emissions reduced, avoided or removed/sequestered
Outcome 1.2 Climate resilience of watershed ecosystems is increased	Progress reports and Kobo Tool data extraction	<i>GIS data</i>	Annual Monitoring	Core 4: Hectares of natural resources brought under improved low-emission and/or climate-resilient management practice
Output 1.1. Integrated landscape management plans that include watershed ecosystems and founded on EbA are developed	Progress annual reports, mid and term evaluations	<i>Survey/question naire</i>	Annual	Number of VNRMCS strengthened/formed
	Qualitative semi-structure interviews under annual and mid and final evaluation	<i>Interviews</i>		
	Progress annual reports, mid and term evaluations	<i>Other (please specify)</i>	Annual	Number of SCMCs strengthened/formed
	Qualitative semi-structure interviews	<i>Interviews</i>		

	under annual and mid and final evaluation			
Output 1.2. Integrated landscape management plans that include watershed ecosystems and founded on EbA are implemented	Progress Annual reports <i>and training reports</i>	<i>Other (please specify)</i>	Annual	Number of villagers trained to prepare and implement their watershed management plans and VLAPs
	Progress Annual reports and training reports.	<i>Other (please specify)</i>	Annual	Number of Village-Level Action Plans (VLAPs) prepared and implemented
Outcome 2 More climate resilient livelihoods and food systems are leading to stable productivity and incomes	Beneficiaries records, mid-term and final evaluations surveys and technical evaluations TAPE	<i>Survey/questionnaire</i>	Annual	% of supported households reporting a more stable income
	Beneficiaries records, mid-term and final evaluations surveys and technical evaluations TAPE	<i>Survey/questionnaire</i>	Annual	% of supported households reporting more stable crop yields
	Beneficiaries records, mid-term and final evaluations surveys and technical evaluations TAPE	<i>Survey/questionnaire</i>	Annual	% increase volume of sales (key crops) per household
Output 2.1. EbA measures and inputs are promoted among farmers	Project annual progress reports Training records,	<i>Other (please specify)</i>	Annual	Number of field extension officers and lead farmers trained as FFS facilitators (including women and youth)
	Project annual progress reports Training records,	<i>Other (please specify)</i>	Annual	Number of FFSs implemented
	Reports from Community radios, SMS sent and app use	<i>Government data/records</i>	Annual	Number of farmers accessing to digital technical and climate information
Output 2.2. Private sector invests in climate-resilient agriculture; and farmers have better access to markets	Annual progress reports Training records Case studies	<i>Other (please specify)</i>	Annual	Number of public-private producers partnerships (4Ps) established Number of beneficiaries engaged in the commercial activities
	Annual progress reports Training records Semi-structure interviews Case study	<i>Other (please specify)</i>	Annual	number of informal or formal MSMEs established Number of beneficiaries engaged
Output 2.3. Financial service providers support investment in climate-resilient agriculture	Annual progress reports Training records	<i>Other (please specify)</i>	Annual	Number of people accessing financial support by the project
	Annual progress reports Mid and final evaluation and technical reports	<i>Survey/questionnaire</i>	Annual	Number of Village Savings and Loans Associations (VSLAs) strengthened/established

	Semi-structure interviews Case study			
	Annual progress reports Mid and final evaluation and technical reports	<i>Survey/questionnaire</i>	Annual	Number of Financial service providers (FSPs) capacitated to deliver adapted innovative products for farmers / POs and SMEs.
Outcome 3. The enabling environment to sustain, replicate and scale-up climate resilient landscape, watershed ecosystems and agriculture practices is enhanced.	Mid-term and final evaluation reports Project annual progress reports	<i>Government data/records</i>	Annual	Number of evidence-based policies/initiatives developed at national/sub-national level promoting the uptake of EbA solutions
Output 3.1. Sustainable and innovative public and private climate financing through NCCF and local trusts are in place	Project annual progress reports	<i>Other (please specify)</i>	Annual	Number of NCCF staff trained
	Project annual progress reports	<i>Other (please specify)</i>	Annual	Number of national entities accredited to GCF
Output 3.2. EbA integrated in national policies	Project annual progress reports, training records	<i>Survey/questionnaire</i>	Annual	Number of policy makers capacitated to develop EbA-based policies and budgets
	Project annual progress reports,	<i>Government data/records</i>	Annual	Number of policy dialogue roundtables facilitated
Co-benefit 1	Mid and final Evaluation surveys	Survey/questionnaire	Mid and final Evaluation	Percentage of households with an increase in the value of household assets
Co-benefit 2	Mid and final Evaluation surveys	Survey/questionnaire	Mid and final Evaluation	Percentage of women perceiving improved support from men for women's empowerment.
Total monitoring budget for data generation and collection not covered by AE fee: <ul style="list-style-type: none"> - M&E specialist with GIS skills: 270,707 USD - 2 M&E associates (regional offices): 337,487 USD - National consultants supporting monitoring & reporting: 46,640 USD - Project baseline surveys (Y1): 148,447 USD - Project annual surveys (Y2, Y3 & Y4): 63,600 USD - Project Mid-term surveys (Y4): 148,447 USD - Project End-line surveys (Y6): 148,447 USD - Contract for data generation and collection: 77,444 USD 				Total: 1,241,219 USD (exclusive of impact evaluation costs)
Cofinancing of M&E by MoF/FARMSE: 346,328 USD				
Cofinancing of M&E by FAO: 184,158 USD				

b) Evaluation

Evaluation			
Type	Timing	Independent/Self-evaluation	Indicative Budget (US\$)*

<i>Impact</i>	Baseline (Y1), Mid-term (Y4) and End-line (Y6)	Independent	151,904
<i>Process</i>	Mid-term evaluation (Q1 Y4)	Independent	254,709
<i>Process</i>	Terminal evaluation (Q4 Y6)	Independent	250,709
<i>Total</i>			656,411

*The budget for data generation and collection is included. Some data for impact evaluation will be also used for mid-term and terminal evaluation.

c) M&E budget

Project staff time. The project monitoring and evaluation will be conducted by the M&E unit which includes: (i) M&E specialist (with GIS skills), based in Lilongwe office (SB5 level); (ii) two 2 M&E Associate in the regional offices (SB4 level). For the activities related to MoF co-financing (through the FARMSE programme), the unit will be supported by: (i) M&E Specialist from MoF/FARMSE (26.8% of the time); (ii) Information and Data Management Officer, MoF/FARMSE (26.8% of the time); (iii) Knowledge & Communication Officer, MoF/FARMSE (26.8% of the time); and (iv) MoF/FARMSE Administrative & Office Assistant in support of M&E (26.8% of the time).

Other costs. The following surveys will be conducted: baseline survey, annual surveys, mid-line and end-line surveys. Consultancy/contract costs for preparing technical reports/studies, project progress reports and project completion report are also budgeted as indicated above. M&E of the ESMP and implementation safeguards documents is covered by dedicated contracts and the staff time costs of an Environmental and social safeguard specialist (part time 50%) and national safeguards specialist (full time). Finally, an Impact Evaluation (IE) will be conducted by FAO HQ.

1. Introduction

The present Annex describes how EbAM's Monitoring and Evaluation (M&E) system will work, and the tools and processes for its proper functioning. It also indicates the roles and responsibilities of the actors involved in the functioning of the system. The EbAM M&E system is conceived as a dynamic, efficient, participatory and transparent scheme, capable of ensuring smooth communication between the project implementation unit and its Regional Project Implementation Units (RPIUs). It is a management tool that informs the project Coordinator, the M&E specialist and associates, the information and data management officers and the different actors involved (the Project Steering and Technical Committees, the Ministries of Agriculture and Finance and their concerned Departments, the NLGFC, FAO and the GCF), on how the implementation is going and if corrective measures are needed.

Its main objectives are to:

- i) be used as an annual planning tool;
- ii) monitor the implementation of project activities and inform in due time (quarterly, yearly, half-yearly) on their progress (physical and financial);
- iii) monitor progress on beneficiaries involvement;
- iv) report on achievements in quantitative and qualitative terms to the different stakeholders;
- v) be able to evaluate project outputs and outcomes;
- vi) be a mean to feed knowledge management, policy dialogue and communication by capturing successes, innovations, and implementation problems.

2. Organization of the M&E 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 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 Project Technical Committee (PTC), 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 ¹	Stakeholder	Role and responsibility in the M&E system
Central Project Implementation Unit (CPIU) Level	Technical specialists	<ul style="list-style-type: none">- 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 expert, and Gender and	<ul style="list-style-type: none">- Check reliability and provide final validation of the consolidated data in the M&E system for the ESMF and GAP- Conduct specific field supervisions- Participate in data analysis,

¹ The level refers to the reporting structure for the M&E system.

	Social Inclusion Specialist	- Contribute to activity reports and AWPB proposal at national level
	MoF/FARMSE Project Management Unit	-Consolidates and shares progress reports, quality and quantitative disaggregated data of C2.3 activities -Participates to AWPB preparation
	M&E officer (with GIS expertise)	<ul style="list-style-type: none"> - Coordinates and supports the design of all M&E related tools and activities - Participates in the preparation of the manual and updating, - Controls data consolidation, - 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 - Writes quarterly and annual reports - Ensures availability and quality of data for all supervision, MTR and completion missions - Supports the use of GIS tools and analysis for project monitoring and targeting -Products maps according to the needs of the project - Centralizes all geo-referenced information and its use for the M&E system - Develops capacities development in use of tablets, GIS and phones for data collection and GIS points
	Finance Officer	<ul style="list-style-type: none"> - Enters financial data and matching with technical monitoring - Communicates and exchanges constantly with the M&E Officer to ensure the 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	<p>Analyze data from the M&E system ad reports, and identifies possible knowledge products</p> <p>Helps improving the different result and evaluation report and shares, communicates project results</p>
	National Project Coordinator	<ul style="list-style-type: none"> - Performs the general supervision of the M&E system - Ensures the general monitoring of activities, beneficiaries and outcomes - Participates in data analysis - Coordinates of baseline studies - Coordinates, organizes and (preliminarily) validates the AWPB - Ensures preparadness for supervision missions, as well as MTR and completion missions.

Regional Project Implementation Units (RPIUs)	Decentralized staff (MoA, NLGFC) and NGO facilitators	<ul style="list-style-type: none"> - Collect, enter and transmit digital data - Monitor and collect disaggregated data - Supervise and collect data on FFS and C1 and C2 activities - 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 - Collect data and transmit it to GPS points, in particular the VLAPs and SCMP and their coverage - Contribute to data collection and field supervision
	M&E assistant at RPIU level	<ul style="list-style-type: none"> - 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
	Technical specialists	<ul style="list-style-type: none"> - Check reliability and provide final validation of the consolidated data in the M&E system for the respective component/sub-component - Conduct specific field supervisions - Participate in data analysis - Contribute to activity reports and AWPB preparation at regional level - Participate in capitalisation work and identify good practices, possible scaling up, and exchange opportunities
National	MoA	<ul style="list-style-type: none"> - Participates in supervision, mid-term and completion missions - Member of the SC
	Project Technical Committee (PTC)	<ul style="list-style-type: none"> - Provides technical advisory
	Project Steering Committee (PSC)	<ul style="list-style-type: none"> - AWPB revision and approval - Revision of project monitoring and evaluation reports, results and outcomes
	FAO Malawi	<ul style="list-style-type: none"> - 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. Planning: the Results-based Annual Work Plan and Budget (AWPB)

The project will be implemented on the basis of an AWPB which will be planned annually and adjusted as envisaged by the Project Implementation Unit (PIU), subject to the Budget Holder (BH)/Accredited Entity (AE) approval (FAO). The AWPB includes: (i) a presentation of the financial planning for the year and the accumulated previous financial achievements; a statement of the origin and use of funds (disbursement plan); (ii) a descriptive AWPB, with a detailed description of the activities planned for the programming year, the groups to be targeted, the implementation modalities, indicators for monitoring achievements and the persons responsible for the activities and its objectives ; (iii) a physical progress table; (iv) a chronogram of the implementation of activities and (v) a Procurement Plan. The AWPB integrates the three components and the coordination and monitoring-evaluation activities. The AWPB will also include detailed activities to be implemented to achieve the project outputs and targets, divided into quarterly timeframes, targets and milestone dates for output indicators to be achieved during the year. A detailed project

budget for the activities to be implemented during the year will also be included together with all monitoring and supervision activities required.

The draft of the first AWPB will be prepared by the PIU in consultation with the FAO Project Task Force and reviewed at the project Inception Workshop (IW). The PIU will submit a final draft AWPB within two weeks from the IW to the BH.

The AWPBs prepared from the second year onwards will cover a period of 12 months, and will include a summary of the results obtained and the constraints encountered during the previous year. The formulation of the AWPB will be carried out by the CPIU in participatory consultation with the implementing partners, to validate and propose modifications to its formulation. It will then be validated by the Project Steering Committee once a year. The AWPB of the programme will be submitted each year for BH approval.

In order for the physical monitoring to be consistent with the financial planning and monitoring, the AWPB has a financial and a physical input that must be aligned. Each activity must be linked to a budget line and each budget line is linked to an activity.

Stages of the AWPB development. Each year the AWPB preparation exercise is carried out, lasting almost 6 months, and organised in different stages at country level:

- i) Diagnostic stage: consultations with implementing partners and beneficiaries are carried out by the PIU. The PIU analyses the conclusions of the consultations sent by the branches and the progress of the current year. It is essential that data collection and analysis is done at this stage and before the formulation of the AWPB.
- ii) Elaboration of the AWPB: with the consultations, proposals and analysis of the data collected from the M&E system, the responsible persons will proceed to the elaboration and budgeting of the AWPB per District and branches (north, central and south) and afterwards with a global consolidation.
- iii) Validation: meetings (at least once a year) with the PTC and the PSC are organised for the validation of the AWPB.
- iv) Transmission to BH: the AWPB is sent to BH for validation before the end of the year.
- v) Modifications to the AWPB may be proposed during supervision missions.

4. Monitoring tools and methods

Project monitoring will be conducted by a dedicated M&E unit, responsible to implement the M&E system. Such unit will include: a National M&E specialist (SB5 level) with GIS skills, based in the CPIU; and two M&E Associates (SB4 level), in the Northern and Southern RCPIUs. The unit will operate under the supervision of the National Project Coordinator, in close consultation with the lead technical specialists for each component and in cooperation with the project field staff. The Project M&E unit will be complemented by the M&E unit of the MoF/FARMSE Project, which includes: M&E Specialist (MoF/FARMSE), Information and Data Management Officer (MoF/FARMSE), Knowledge & Communication Officer (MoF/FARMSE), all contributing to the Project with the 26.8% of their time.

The monitoring system will serve to track and report on the project implementation overall, including the implementation of the outputs, outcomes and impacts detailed in the results framework, as shown in the Results Framework. It will also track implementation of the project's Gender Action Plan and Environmental and Social Management Plan. Project performance will be monitored using the project results matrix, including indicators (baseline and targets) and the AWPB. At inception, the results matrix will be reviewed to finalize identification of: i) outputs ii) indicators; and iii) missing baseline information and targets. A detailed M&E plan, which builds on the results matrix and defines specific requirements for each indicator (data collection methods, frequency, responsibilities for data collection and analysis) will also be developed during project inception by the M&E unit.

An overview of the methodologies for monitoring and reporting on the key outcomes of the project will be elaborated in a detailed Monitoring Plan that will be included as part of the Project Inception Report. Monitoring of impacts and results will be guided by the Results Framework, which will be

the basis for a Performance Management Framework. The monitoring and evaluation will focus on the measurement of the results attributable to the project as a consequence of the implementation of measures and practices for adaptation to climate change, as well as, the impact on the harmonization of policies at territorial level. The lines of action for monitoring and evaluation will be established to collect qualitative and quantitative information and evaluate the effect of actions in the process of adaptation to climate change. In this process, the project will directly involve the beneficiaries as key actors in the execution, monitoring and evaluation process.

The project will ensure transparency in the preparation, conduction, reporting and evaluation of its activities. This includes full disclosure of all non-confidential information, and consultation with major groups and representatives of local communities. The disclosure of information shall be ensured through access to the Kobo-dashboard² as well as through web-posting and dissemination of findings through knowledge products and events. Project reports will be broadly and freely shared, and findings and lessons learned made available.

Project activities will be monitored separately as well as in relation to the achievement of higher level project results and overall GCF goals. For field-level monitoring, the project will make use of georeferenced monitoring. These allows further analysis effectiveness of project results by micro watersheds, for example, The project places particular attention on ensuring the monitoring of differential impacts by gender and age, especially monitoring project components relevant to women and more vulnerable populations. Within the monitoring system, detailed articulation will be ensured between the Project's workplan and the Gender Action Plan, and the environmental and social management framework to safeguard, and ensure a comprehensive and holistic monitoring system, besides quantitative impact monitoring.

Monitoring data will be stored, compiled and displayed in a dedicated module of the project Monitoring Information System (MIS) to be developed and deployed by the PIU. To ensure regular monitoring of on-the-ground interventions, the M&E unit will work with, and supervise, selected farmers and extension officers on the ground. This will contribute to ensure project ownership. AEDOs will be equipped with tablets to better perform data collection.

The project M&E unit will implement tools and methods to facilitate monitoring and evaluation of the project, including an online dashboard built using the Kobo platform and software which will host all the M&E data collected and elaborated during the project activities. Day to day outputs indicators prepared by the PIU for monitoring implementation and progress will be also included. Such database will help to track project progress, building on the Results framework. The M&E Unit, will be responsible for the preparation of the means of verification (surveys and analysis) and internal and external coordination (stakeholders). The results of the monitoring process will serve as a basis for the evaluation processes of the project and the decision making for the incidence in public policy. To monitor the implementation of the activities of each project component, three indicators are used: the rate of implementation of the outputs of the AWPB, which can also be used to feed the Results Framework; the rate of financial implementation of the activities carried out and in progress, and the rate of physical progress of the planned activities.

Monitoring of output results will take place on a quarterly basis. The M&E unit will gather this information once a month with the assistance of farmers and community extension agents. Monitoring the progress toward the project outcomes will be done once a year and is supported through project reporting (see below). A combination of (gender-disaggregated) surveying, geodata tracking, and field-level interviews will be implemented to assess changes in climate change vulnerability and uptake of project-supported interventions.

5. Reporting

In its role as AE, FAO will oversee and supervise the implementation of this project in accordance with the Accreditation Master Agreement (AMA) signed between FAO and the GCF. As per the GCF's Monitoring and Accountability Framework, and in accordance with the AMA, FAO will provide the GCF with an Inception Report, Annual Performance Reports, an independent Mid-term Evaluation report, a Project Closure Report and an independent Final Evaluation report. FAO will

² Software used to collect, store and analyze data.

also provide semi-annual and annual Financial Reports throughout project implementation. The M&E unit will be responsible for the periodic reporting to the CPIU, the PTC and PSC, as well as to FAO and the GCF. The M&E system will aggregate reports from the various activities and stakeholders and consolidate the information and report for each indicator. In addition to the AWPB (see above), specific reports to be prepared under the M&E program are:

(i) Project inception report

- A project inception workshop will be implemented 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 f) finalize the first year work plan. The workshop will generate an inception report that will be presented to and approved by FAO.
- The PIU will prepare a draft project inception report to be discussed during the Project Inception Workshop. The report will be subsequently finalized and will include: (i) a narrative on the institutional roles and responsibilities and coordinating action of project partners; (ii) progress to date on project establishment and start-up activities, and (iii) an update of any changed external conditions that may affect project implementation. It will also include a detailed first year AWPB and a detailed project monitoring plan. The draft inception report will be circulated to the PSC for review and comments before its finalization, no later than one month after project start-up.

(ii) Project Progress Reports (PPR)

- **Annual progress report.** The National Project Coordinator and FAO will provide inputs to the Annual Progress Reports (APRs) for each year of implementation. The APRs will be a consolidation of the progress of achievements attained during a financial year and also assess the overall performance of the project against set objectives. This will be done by the CPIU with input from the RPIUs and implementing partners. The National Coordinator and the M&E Specialist will ensure that the indicators in the results framework are monitored annually through the online tools and other procedures. The annual performance reports will be due at GCF 60 days after the end of each calendar year.
- **Semi-annual Progress Reports.** The CPIU will prepare 6-months progress reports which will be sent to the BH. The progress reports will include an overall assessment of EbAM's achievements against the targets in the AWPB. Executing Entities will also report on their financial and operational progress on a six-month basis.
- **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 by the CPIU. The LTO will be responsible for ensuring appropriate technical review and clearance of the report. Copies of the technical reports will be distributed to project partners and the PTC and PSC as appropriate.

(v) Co-financing Reports

- The BH, 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.

(vi) Project completion report (Final APR)

- Within two months before the end date of the project, and one month before the Final Evaluation, the PIU 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 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.

6. Evaluation

The project unit will conduct self-assessments of the ongoing activities through the regular monitoring and reporting process (see above) and the outputs that result from it, including those that are detailed in the results framework, on an on-going basis. They will use the data and information from this monitoring reported to them by project staff, project partners and beneficiaries to prepare the draft performance reports, which will in turn be sent to the PSC/PTC and FAO. Using these inputs, FAO, in its role as AE, will bear overall responsibility for ensuring that all relevant reporting is provided to the GCF in a timely manner and in accordance with the formats and standards agreed by the two organizations and the GoM. The monitoring team will also share monitoring findings with the project management staff so that they may discuss implementation issues as they arise. This will take place in the form of knowledge-sharing events and briefings within the CPIU, and RPIU teams.

In accordance with the AMA between FAO and GCF, the FAO Office of Evaluation will be responsible for the independent mid-term and final evaluations, in line with the initial monitoring and accountability framework (MAF) for accredited entities (AEs) which requires all AEs to submit two important independent evaluations for all projects or programmes, these being the project interim and final evaluations. These are submitted to the GCF as per a timeline agreed upon by the Secretariat and the AE. The independent interim evaluation will be instrumental in contributing – through operational and strategic recommendations – to improving implementation, setting out any necessary corrective measures for the remaining period of the project in order to achieve the results. 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 will also assess the extent to which the intervention has contributed to the GCF's higher-level goal of achieving a paradigm shift in adaptation to climate change in Malawi. Evaluation results will also help to create knowledge for policy dialogue and it will be to inform Component 3 activities. FAO will arrange for the mid-term review in consultation with the project partners. The evaluation will, inter alia: review the effectiveness, efficiency and timeliness of project implementation; analyse effectiveness of partnership arrangements; identify issues requiring decisions and remedial actions; propose any mid-course corrections and/or adjustments to the implementation strategy as necessary; and highlight technical achievements and lessons learned derived from project design, implementation and management. The independent final evaluation will aim to identify the project impacts and sustainability of project results and the degree of achievement of long-term results. This evaluation will also have the purpose of indicating future actions needed to sustain project results and disseminate products and best-practices within the country and to neighbouring countries.

As per the FAO policy on evaluation, the FAO Office of Evaluation (OED) will conduct a final evaluation of the project, to be launched within six months prior to the actual completion date. It will aim at identifying project outcomes, their sustainability and actual or potential impacts. It will also have the purpose of indicating future actions needed to assure continuity of the process developed through the project. OED will conduct the evaluation in consultation with project stakeholders and the donor, and share with them the evaluation report, which is a public document. An independent mid-term evaluation (MTE) will be carried out at project mid-life in terms of expenditure and/or overall project duration, tentatively in the first quarter of project year 4. The BH will arrange an independent MTE in consultation with the Project Steering Committee (PSC), Project Technical Committee (PTC), the Project Implementation Unit (PIU), the lead technical office (LTO) and the FAO-GCF Coordination Unit in FAO headquarters. The MTE will be conducted to review progress and effectiveness of implementation in terms of achieving project objective, outcomes and outputs. The MTE will allow mid-course corrective actions, if needed. The MTE will provide a systematic analysis of the information on project progress in the achievement of expected results against budget expenditures. It will highlight replicable good practices and key issues faced during project implementation and will suggest mitigation actions to be discussed by the PSC, the LTO and FAO-GCF Coordination Unit. Both the mid-term and final evaluations must be consistent

with GCF requirements as outlined in the GCF Evaluation Policy, Evaluation Standards, and Evaluation Operational Procedures and Guidelines.

The FAO HQ will conduct an impact evaluation exercise, additional to the standard evaluation procedure, to measure impact and cost-effectiveness of EbAM practices and approaches. Such evaluations will be answering the following questions: (i) What are the impacts of the farm-level interventions implemented under component 2 on farmer's livelihoods and climate resilience? (ii) What is the impact of component 1 interventions on spatially observed biophysical outcomes, such as land cover and soil quality? (iii) What are the marginal benefits of providing Payment for Ecosystem Services (PES) in addition to the FFS interventions on farmers' adoption of EbAM practices? (iv) What is the cost effectiveness, net present value and internal rate of return of shifting to EbA relative to conventional farming practices? The impact evaluation will also include ad-hoc baseline, midline and endline surveys.

Overall project evaluation will draw on mixed-methods, using quantitative approaches (self-implemented surveys) and qualitative methods (e.g. participatory appraisal) in combination with counterfactual analysis, with the help of reliable control data from the project's baseline and endline surveys. The baseline survey will be carried out to collect and analyse data needed to highlight the socio-economic characteristics of households (data will be disaggregated by gender) in the project intervention area. It will also help to provide baseline values for some of the indicators shown in the project's results' framework.

In addition to primary data collected by the project, both interim and final evaluations will draw on the monitoring reports and activities prepared by project staff, including results from specific analytical tools (e.g., Ex-ACT, TAPE). Attention will focus on assessing how the project developed capacities within the three dimensions: enabling environment, organizations and individuals. This will be important to ensure the sustainability, scalability and replicability of the project over time. The evaluations will be conducted using (a) data on expected and realized changes in farmers practices (b) derived impact in climate resilience of livelihoods of the target groups (c) working back through the Theory of Change why farmers adopt changes using a question-driven approach, and may include assessments of project activities against the criteria of relevance, effectiveness and sustainability, among others.

The project budget includes costs for the generation and collection of evaluative data, as well as the costs for the impact evaluation exercise. This budget is exclusive of interim and final evaluations costs, which are covered by AE fee.