

ANNEX G: MONITORING AND EVALUATION BUDGET AND WORKPLAN

The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the executing agency and UNEP. The project monitoring and evaluation (M&E) plan is consistent with UNEP procedures and the GEF Monitoring and Evaluation policy.

Project M&E will serve to: (a) monitor and report on implementation progress, including the tracking of activities and financial resources, as agreed in semi-annual work plans and related budget plans, (b) proactively identify implementation gaps over the course of the project implementation that require corrective actions, and (c) assess and report on progress towards, and final achievement of planned outputs, outcomes, targets and indicators as outlined in Annex A: Project Logical Framework.

When appropriate and possible, other stakeholders (NGOs and Civil Society Organizations, private sector and community members) will participate in monitoring activities and mechanisms, and be invited to provide views and perceptions during evaluations.

The M&E plan includes an inception report, project implementation reviews, quarterly and annual review reports, and mid-term and final evaluations. The project's M&E plan will be presented and finalized in the Project Inception Report (PIR) following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities.

The project Logical Framework presented in Appendix A includes SMART targets and indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators, along with the key deliverables and benchmarks included in Annex I, will be the main tools for assessing project implementation progress and whether project results are being achieved. The means of verification are summarized in Annex H.

The Project Implementation Unit (PIU) will be responsible for data collection and upstream reporting of monitoring information and overall progress towards achieving results to the Steering Committee and the UNEP/GEF on a semi-annual basis. Additional Project monitoring will be provided by UNEP with support from the Task Manager Biodiversity/Land Degradation within the UNEP/ UNEP Division of Environmental Policy Implementation (DEPI) in Nairobi.

During the inception phase, MFESD will create the Project Steering Committee in close cooperation with the project direct beneficiary and in close cooperation with UNEP.

The GEF BD Tracking Tool is attached as Annex J. This will be updated at mid-term and at the end of the project and will be made available to the GEF Secretariat along with the project PIR report. As mentioned above, the mid-term and terminal evaluation will verify the information of the tracking tool.

Costed M&E Workplan

Type of M&E activity	Responsible Parties	Budget from GEF <i>Excluding project team staff time</i>	Budget co-finance	Time Frame
Inception Meeting	Project Manager DNC (MTE), UNEP	Indicative cost: 10,000		Within 2 months of project start-up
Inception Report	Project Manager DNC (MTE), UNEP	With above		1 month after project inception meeting
Measurement of	Project manager (with UNEP	To be determined as		Outcome indicators:

Type of M&E activity	Responsible Parties	Budget from GEF <i>Excluding project team staff time</i>	Budget co-finance	Time Frame
project indicators (outcome, progress and performance indicators, GEF tracking tools) at national and global level	Task Manager) will oversee the hiring for specific studies and will delegate responsibilities to relevant team members. Project team	part of the Annual Work Plan's preparation		start, mid and end of project Progress/perform. Indicators: annually
Semi-annual Progress/ Operational Reports to UNEP	Oversight by PM	None		Within 1 month of the end of reporting period i.e. on or before 31 January and 31 July
Project Steering Committee meetings and National Steering Committee meetings		Indicative cost: 44,000		Once a year minimum
Reports of PSC meetings	<ul style="list-style-type: none"> • Project Manager and team 	None		Annually
PIR	<ul style="list-style-type: none"> • Project Manager and team • UNEP DEPI 	None		Annually, part of reporting routine
Monitoring visits to field sites	<ul style="list-style-type: none"> • UNEP • Government representatives 	For GEF supported projects, paid from IA fees and operational budget		As appropriate
Mid Term Review/Evaluation	<ul style="list-style-type: none"> • Project manager and team • UNEP DEPI • External Consultants (i.e. evaluation team) 	Indicative cost: 19,000		At mid-point of project implementation
Terminal Evaluation	<ul style="list-style-type: none"> • Project manager and team, • UNEP DEPI • External Consultants (i.e. evaluation team) 	Indicative cost: 32,000		Within 6 months of end of project implementation
Audit	<ul style="list-style-type: none"> • UNEP DEPI • Project manager and team 	Indicative cost per year: 2,800 (total 14,000)		Annually
Project Final Report	<ul style="list-style-type: none"> • Project Manager and team • UNEP DEPI 	None		Within 2 months of the project completion date
Co-financing report	<ul style="list-style-type: none"> • Project Manager and team • UNEP DEPI 	None		Within 1 month of the PIR reporting period, i.e. on or before 31 July
Publication of Lessons Learnt and other project documents	<ul style="list-style-type: none"> • Project Manager and team • UNEP DEPI 	None		Annually, part of Semi-annual reports & Project Final Report
Total M&E Plan Budget <i>Excluding project team staff time and UNEP staff and travel expenses</i>		US\$ 119,000		

Project Inception Phase

A Project Inception Workshop (IW) will be held within the first three months of project start-up with the participation of the full project team, relevant GoC counterparts, co-financing partners, and the UNEP Focal Point, as appropriate. A fundamental objective of the IW will be to help the project team to understand and take ownership of the project's goal and objectives, as well as finalize preparation of the project's first annual work plan on the basis of the project results framework and the GEF Tracking Tool. This will include reviewing the results framework (indicators, means of verification, and assumptions), imparting additional detail as needed, and on the basis of this exercise, finalizing the Annual Workplan (AWP) with precise and measurable performance indicators, and in a manner consistent with the expected outcomes for the project.

Additionally, the purpose and objective of the IW will be to: a) introduce project staff to project stakeholders that will support the project during its implementation; b) detail the roles, support services, and complementary responsibilities of UNEP staff in relation to the project team; c) provide a detailed overview of UNEP-GEF reporting and M&E requirements, with particular emphasis on the Annual Project Implementation Reviews (PIRs) and related documentation, the Annual Project Report (APR), mid-term review, final evaluation and financial reporting. Equally, the Inception Workshop will provide an opportunity to inform the project team on UNEP project-related budgetary planning, budget reviews including arrangements for annual audit, and mandatory budget re-phrasings.

The IW will also provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines and conflict resolution mechanisms.

The Terms of Reference (ToRs) for project staff and decision-making structures will be discussed again, as needed, in order to clarify each party's responsibilities during the project's implementation phase. A report on the Inception Workshop is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting (see details below).

Monitoring Responsibilities and Events

A detailed schedule of project review meetings will be developed by the project management in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: a) tentative timeframes for Project Steering Committee meetings (and other relevant advisory and/or coordination mechanisms); and b) project-related M&E activities.

Day-to-day monitoring of implementation progress will be the responsibility of the Project Coordinator (PC) based on the project's AWP and its indicators. The PC will inform UNEP, on behalf of the Executing Agency (MFESD), of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion. The PC will fine-tune the progress and performance/impact indicators of the project in consultation with the full project team at the IW with support from UNEP Task Manager.

Specific targets for the first-year implementation progress indicators together with their means of verification will be developed at this workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the AWP. Targets and indicators for subsequent years will be defined annually as part of the internal evaluation and planning processes undertaken by the project team. Measurement of impact indicators related to global benefits

will occur according to the schedules defined through specific studies that are to form part of the project's activities.

Periodic monitoring of implementation progress will be undertaken by the UNEP Task Manager through six-monthly exchanges with the project implementation team, or more frequently as deemed necessary. This will allow parties to take stock of and to troubleshoot any problems pertaining to the project in a timely fashion to ensure the timely implementation of project activities. The UNEP Task Manager, as appropriate, will conduct yearly visits to the project's field sites, or more often based on an agreed upon schedule to be detailed in the project's Inception Report/AWP to assess first-hand project progress. Any other member of the Steering Committee can also take part in these trips, as decided by the Steering Committee. A Field Visit Report will be prepared by the UNEP Task Manager and circulated no less than one month after the visit to the project team, all Steering Committee members, and UNEP-GEF.

Annual monitoring will occur through the PSC meetings. This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to Project Steering Committee meeting at least once every year.

The first such meeting will be held within the first twelve months of the start of full implementation. The project proponent will prepare an Annual Project Report (APR) and submit it to UNEP GEF Task Manager at least two weeks prior to the PSC for review and comments.

The APR will be used as one of the basic documents for discussions in the PB. The Project Coordinator will present the APR to the PSC, highlighting policy issues and recommendations for the decision of the PB participants. The Project Coordinator will also inform the participants of any agreement reached by stakeholders during the APR preparation on how to resolve operational issues. Separate reviews of each project component may also be conducted if necessary. UNEP has the authority to suspend disbursement if project performance benchmarks are not met. Benchmarks will be conveyed by UNEP to project stakeholders at the IW, based on delivery rates and qualitative assessments of achievements of outputs.

The Terminal PSC Review is held in the last month of project operations. The Project Coordinator with guidance from UNEP is responsible for preparing the Terminal Report and submitting it to UNEP GEF and Country Operational Focal Point. It shall be prepared in draft at least two months in advance of the PSC meeting in order to allow review, and will serve as the basis for discussions in the PSC meeting. The terminal PSC review considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. It decides whether any actions are still necessary, particularly in relation to sustainability of project results, and acts as a vehicle through which lessons learned can be captured to feed into other projects being implemented.

Project Monitoring Reporting

The Project Coordinator, with guidance from UNEP-GEF team, will be responsible for the preparation and submission of the following reports that form part of the monitoring process and that are mandatory.

- A **Project Inception Report (IR)** will be prepared immediately following the IW. It will include a detailed First Year/AWP divided in quarterly timeframes detailing the activities and progress indicators that will guide implementation during the first year of the project. This work plan will include the dates of specific field visits, support missions from the UNEP Task Manager or consultants, as well as timeframes for meetings of the project's decision-making structures. The IR will also include the detailed project budget for the first full year of implementation, prepared on the basis of the AWP, and including any M&E requirements to effectively measure project

performance during the targeted 12-month timeframe. The IR will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions, and feedback mechanisms of project-related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation. When finalized, the IR will be circulated to project counterparts who will be given a period of one calendar month in which to respond with comments or queries. Prior to the IR's circulation, the UNEP/GEF will review the document.

- The **Annual Project Report (APR)**. An APR will be prepared on an annual basis prior to the PSC Review, to reflect progress achieved in meeting the project's AWP and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The format of the APR is flexible but should include the following sections: a) project risks, issues, and adaptive management; b) project progress against pre-defined indicators and targets, c) outcome performance; and d) lessons learned/best practices.
- The **Project Implementation Review (PIR)** is an annual monitoring process mandated by the GEF. It has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from on-going projects. Once the project has been under implementation for one year, a PIR must be prepared by the project management and submitted by UNEP to the GEF. The PIR should then be discussed in the PSC meeting so that the result would be a PIR that has been agreed upon by the project, the Implementing Partner (MFESD) and the UNEP. The individual PIRs are collected, reviewed, and analysed by the UNEP Operational Focal Point prior to sending them to the GEF by UNEP-GEF Coordination Office.
- **Half year (July–December) Progress Reports** outlining main updates in project progress will be provided every six month to the UNEP/GEF Task Manager. The January – June progress report stand as the PIR described above.
- **Specific Thematic Reports** focusing on specific issues or areas of activity will be prepared by the project team when requested by UNEP-GEF, or the Implementing Partner (MFESD). The request for a Thematic Report will be provided to the project team in written form by UNEP and will clearly state the issue or activities that need to be reported on. These reports can be used as a form of lessons learned exercise, specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered. UNEP is requested to minimize its requests for Thematic Reports, and when such are necessary will allow reasonable timeframes for their preparation by the project team.
- **A Project Terminal Report** will be prepared by the project team during the last three (3) months of the project. This comprehensive report will summarize all activities, achievements, and outputs of the project; lessons learned; objectives met or not achieved; structures and systems implemented, etc.; and will be the definitive statement of the project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's activities.
- **Technical Reports** are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report, the project team will prepare a draft Reports List detailing the technical reports that are expected to be prepared on key areas of activity during the course of the project, and tentative due dates.

Where necessary, this Reports List will be revised and updated, and included in subsequent APRs.

Technical Reports may also be prepared by external consultants and should be comprehensive and specialized analyses of clearly defined areas of research within the framework of the project and its sites. These technical reports will represent, as appropriate, the project's substantive contribution to specific areas, and will be used in efforts to disseminate relevant information and best practices at local, national, and international levels.

Project Publications will form a key method of crystallizing and disseminating the results and achievements of the project. These publications may be scientific or informational texts on the activities and achievements of the project in the form of journal articles or multimedia publications. These publications can be based on Technical Reports, depending upon the relevance and scientific worth of these reports, or may be summaries or compilations of a series of Technical Reports and other research. The project team in consultation with UNEP, the Govt. of Congo, and other relevant stakeholder groups will also plan and produce these publications in a consistent and recognizable format. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

Independent External Evaluation

The project will be subjected to at least two reviews/evaluations as follows. A Mid-Term Review will be undertaken at the mid-point of the project lifetime. The Mid-Term Review will determine progress being made towards the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency, and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation, and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, ToRs, and timing of the mid-term review will be decided after consultation between the parties to the project document. The ToRs for this Mid-Term Review will be prepared by the UNEP based on UNEP Evaluation Office guidance. The management response of the review will be uploaded to the UNEP corporate systems as necessary. The GEF Tracking Tool for the project will also be completed during the mid-term review cycle.

A Final Evaluation will take place three months prior to the terminal Steering Committee meeting, and will focus on the same issues as the Mid-Term Review. The Evaluation will also look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. The Evaluation should also provide recommendations for follow-up activities and requires a management response. The ToRs for this evaluation will be prepared by the UNEP Evaluation Office in consultation with the UNEP Project Task Manger. The GEF Tracking Tool will also be completed during the final evaluation.

Audit Clause

MFESD will provide UNEP with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of UNEP/GEF funds according to the established procedures set out in the Programming and Finance manuals.

Learning and Knowledge Sharing

Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and forums. In addition, the project will participate, as relevant and appropriate, in UNEP-GEF sponsored networks, organized for Senior Personnel working on projects that share common characteristics.

UNEP-GEF Coordination Office has established an electronic platform for sharing lessons between the project managers. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identifying and analysing lessons learned is an on-going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every twelve (12) months. UNEP-GEF shall provide a format and assist the project team in categorizing, documenting, and reporting on lessons learned. Specifically, the project will ensure coordination in terms of avoiding overlap, sharing best practices, and generating knowledge products of best practices.