

CLIMATE INVESTMENT FUNDS

FIP/SC.11/6/Rev.1
October 30, 2013

Meeting of the FIP Sub-Committee
Washington D.C.
October 30, 2013

Agenda Item 6

RESULTS MONITORING AND REPORTING IN THE FIP

PROPOSED DECISION

The FIP Sub-Committee reviewed document, FIP/SC.11/6/Rev.1, *Results Monitoring and Reporting in the FIP*, and notes with appreciation the work of the FIP Sub-Committee Working Group and the FIP pilot countries in contributing to the preparation of the proposal.

The Sub-Committee approves the proposal for annual reporting by the pilot countries, and

- a) recognizing that the current FIP results framework and its adoption in the endorsed investment plans is the basis for mid-term and ex-post evaluation in the FIP pilot countries, invites pilot countries to consider the need to revise their results frameworks to reflect a realistic set of results expected from FIP investments. Any revised results framework should be submitted to the FIP Sub-Committee for endorsement;
- b) requests the CIF Administrative Unit to provide further guidance on the reporting requirements for each category of reporting, a common format for reporting and a calendar for submissions of the annual reports; and
- c) invites FIP pilot countries to submit to the Sub-Committee for further consideration any capacity development needs for annual reporting.
- d) recognizing the recommendations on undertaking gender mainstreaming into CIF activities as presented in the Gender Review approved by the CTF and SCF Trust Fund committee in March 2013
- e) The Sub-Committee requests the CIF Administrative Unit to revise document, FIP/SC.11/6, *Results Monitoring and Reporting in the FIP* to reflect the changes agreed by the Sub-Committee

I. INTRODUCTION

1. During its meeting in May 2013, the FIP Sub-Committee reviewed document FIP/SC.10/5, *Approaches to Measuring and Reporting Results in endorsed FIP Investment Plans*, took note of the report's findings and requested the CIF Administrative Unit to:
 - a) organize, as soon as possible, a virtual meeting of FIP pilot countries to discuss, after internal consultations in each pilot country, emerging common indicators for measuring progress at the level of the FIP investment plan, taking into account the findings of the report;
 - b) organize a meeting or meetings, as necessary, by teleconference, videoconference, or in person, of a working group comprised of representatives from interested FIP pilot countries and contributor countries, the CIF Administrative Unit and the MDBs, to propose a few core indicators to be measured at the level of the investment plan, taking into account the results from the discussion among FIP countries;
 - c) organize, during the next meeting of the FIP pilot countries scheduled to be held in October 2012, a session on FIP monitoring and reporting so as to allow further discussion and development of proposed core indicators for consideration by the FIP Sub-Committee; and
 - d) with inputs from the working group and taking into account the comments received during the meeting of FIP pilot countries, to prepare for approval by the FIP Sub-Committee at its meeting in November 2013, core indicators to be measured at the investment plan level. In presenting the core indicators, the proposal should include a description of how project level indicators would relate to the core indicators.
2. A FIP Sub-Committee working group was established and the group met on August 29-30, 2013, in Washington D.C. The report of the working group is available as document FIP/SC.11/Inf.3, *Report of the FIP Sub-Committee Working Group on Annual Reporting on the Implementation of the FIP Investment Plans Finalized September 15, 2013*.
3. The FIP pilot countries meeting took place on September 24-26, 2013 in Yogyakarta, Indonesia. A full day was dedicated to discuss and provide views on the proposal prepared by the FIP Sub-Committee working group.
4. The FIP pilot countries generally agreed with the proposed framework and themes for reporting on progress at the level of the FIP investment plan. Modifications were suggested to reflect the potential of the pilot countries to report on the themes. Pilot countries requested further clarifications on the frequency of reporting considering the costs and efforts involved to develop monitoring reports.

5. Consistent with paragraph (d) of the decision of the FIP Sub-Committee, the CIF Administrative Unit has prepared this document for review and approval. The proposal takes into account the results from the working group and the comments received from pilot countries during the meeting of the FIP pilot countries.

II. PROPOSAL FOR REPORTING ON THE IMPLEMENTATION OF THE FIP INVESTMENT PLANS

General Principles

6. The implementation of the FIP results agenda is based on the following principles.
- a) The current FIP results framework and its adoption in the endorsed investment plans is the basis for mid-term and ex-post evaluation in the FIP pilot countries.
 - b) FIP pilot countries will report annually to the CIF Administrative Unit on progress in implementing their endorsed investment plans, consistent with the FIP results framework and the annual reporting outline presented in paragraphs 9 and 10 below. The annual report should provide status and progress data and information for country investment plans and the FIP as a whole.
 - c) Annual reports will consist of a mix of qualitative and quantitative information. Some of the measures in agreed themes will be developed around quantitative data but, for others, qualitative measures might be more appropriate.
 - d) The pilot country's annual report should also include a narrative reflecting on programmatic aspects such as the validity of the theory of change presented in the investment plan which was the basis for the agreed investments.
 - e) Results measurement and reporting is an iterative and learning process. FIP pilot countries are encouraged in their annual reporting to identify challenges with measuring data and collecting information as they relate to the agreed common themes, so that the CIF Administrative Unit can provide guidance and explore opportunities for South-South learning.

FIP results framework and Investment Plan results frameworks

7. Some FIP pilot countries have fully integrated the approved FIP results framework into their investment plans, while others have chosen to integrate only selected elements, based on the scope of their respective investment plans. Given that the investment plans and their results frameworks were completed before any of the FIP projects and programs had been fully designed, it has now become clear that some or most of the results frameworks in the endorsed FIP investment plans may not fully reflect the proposed theory of change for using allocated FIP resources, resulting in difficulties with measuring some of the listed indicators. Even if fully developed, some projects will not necessarily generate the type of results that could be reported on through the indicators originally included in the investment plan.

8. In that context, FIP pilot countries may consider revising, streamlining and adapting the results framework in their endorsed investment plans to bring them in line with the results that would actually be achieved through the implementation of the investments on the ground.

Annual reporting at the level of FIP investment plans

9. It is proposed that an annual report by FIP pilot countries (represented by the office of the FIP country focal point) includes data and information on three categories, when possible:

- a) ***common themes*** to be reported on by all FIP pilot countries:
 - i. GHG emission reductions / enhancement of carbon stocks; and
 - ii. livelihoods co-benefits;
- b) ***other relevant co-benefit themes*** as they apply to the country investment plan:
 - i. biodiversity and other environmental services;
 - ii. governance;
 - iii. tenure, rights and access; and
 - iv. capacity development; and
- c) ***a narrative*** presenting information on:
 - i. five common topics to be annually reported on by all FIP pilot countries (category 3: elements for narrative 1-5); and
 - ii. other potential themes (category 3: elements for narrative 6-10) as agreed by the FIP Sub-Committee (not on an annual basis)¹.

10. The following matrix presents the proposed annual reporting outline on FIP country program implementation by category and themes:

¹ Every year, one or two other themes would be selected by the FIP Sub-Committee. Pilot countries may want to report on these additional themes using creative reporting tools such as blogs, videos or webinars.

Category 1: Common themes (to be reported on by all FIP pilot countries)

Theme	Measurement	Methodology	Clarifications/Suggestions
GHG emission reductions/ enhancement of carbon stocks	Tons CO ₂ e/yr (estimate)	Methodology is self-reported by country; description of how values were estimated	Provide context and brief description of intervention (reduced/avoided/enhanced) (net/gross)
Livelihood co-benefits	Number of people directly benefited by FIP out of total number of people targeted	Methodology is self-reported by country	Describe key monetary and non-monetary benefits received by beneficiaries through the FIP, where possible, this information may be disaggregated by sex, by vulnerability and other criteria such as indigenous or ethnic groups etc. where possible

Category 2: Other relevant co-benefit themes (to be reported on by FIP pilot countries if they apply to the country investment plan and if data is available)

Theme	Measurement	Methodology	Clarifications
Biodiversity and Environmental Services	Use indicators that are available or proxy indicators	Self-reported by country	Proxies may include: Area of avoided deforestation; Area of land protected or rehabilitated; Extent to which biodiversity and ecosystem services are included in natural resource management and land use plans; Improved natural resource management practices; Certified forests and agricultural production systems; Describe interventions that enhance biodiversity and other ecosystem services.
Governance	Use indicators that are available or proxy indicators	Self-reported by country	Describe how FIP has contributed to improve legal and regulatory frameworks and their implementation; institutional arrangements and processes; conflict resolution mechanisms;

			land use planning.
Tenure, rights and access	Use indicators that measure tenure, rights, and access in your country context	Self-reported by country	<p>Clarify terminology regarding tenure, rights and access; State if it is land, tree, or carbon rights; State whether land is individually held or governed by communal rights; Describe benefit sharing mechanisms if applicable;</p> <p><i>Examples:</i></p> <ul style="list-style-type: none"> - Increase in area/number of people with clearly recognized tenure of land and resources for indigenous peoples and local communities (women and men) - Existence of maps (cadastral maps, register of rights etc.)
Capacity building	Use indicators that capture human resource, infrastructure, institutional and technical capacity as well as the capacity to plan, manage, and engage in wider REDD+ activities as applies to the country	Self-reported by country	<p>Write-up may include: Cover explicit technical assistance as well as implicit learning; Comment on enhanced capabilities to develop and implement policies; Comment on the value-added of the programmatic approach; Evidence of how, where, and when capacity building has happened and its outcomes.</p>

Category 3: Elements for Narrative (if it applies to the investment plan and data is available)

1. Theory of change and assumptions (Assessment on the design, process and implementation of interventions; What is working and what is not working?)
2. Contribution to national REDD+ and other national development strategies and uptake of FIP approaches
3. Support received from other partners including the private sector.
4. Link of DGM to investments from government's point of view. Comment on the progress of the DGM and its contribution to the investment plan.

5. If applicable: highlights/showcases (example of a particular outstanding achievement that you want to mention)

The following themes may be reported on by using creative media and platforms such as blogs, videos or webinars.

6. Role of program coordination and synergies between different projects.
7. Ongoing stakeholder participation/involvement.
8. How the investment plan is implemented in the context of broader national policies.
9. Knowledge exchange and management.
10. Any analytical work or public communications (evaluative studies, articles etc.)

III. CONCLUSIONS

11. Taking into account the above proposal, discussions in the FIP Sub-Committee working group and feedback from the FIP pilot countries, the FIP Sub-Committee may consider the following recommendations:

- a) based on the clarification that the current FIP results framework and its adoption in the endorsed investment plans is the basis for mid-term and ex-post evaluation in the FIP pilot countries, the FIP Sub-Committee should invite pilot countries to consider the need to revise their results frameworks to reflect a realistic set of results expected from FIP investments. Any revised results framework should be submitted to the FIP Sub-Committee for endorsement;
- b) once annual reporting requirements have been agreed on, the FIP Sub-Committee should request the CIF Administrative Unit to provide further guidance on the reporting requirements for each category, a common format for reporting and a calendar for submissions of the annual report; and
- c) the FIP Sub-Committee should invite FIP pilot countries to express capacity development needs for annual reporting.

12. The FIP Sub-Committee may wish to provide further guidance on the FIP results agenda subject to the discussions in the Sub-Committee meeting.