M&E and Reporting Guidance

# PRODOC GUIDANCE

***Monitoring and Evaluation Section in PRODOC***

The monitoring and evaluation (M&E) plan is a narrative plan and accompanying matrix, which describes and illustrates how the project team will collect, analyze, and reflect on information relating to their project to assess for efficiency, relevancy, results/impact, adaptive capacity and sustainability of their project. In other words, what is their plan for determining if the project is working and how do they share and use that information? Additionally, what is their plan for addressing what is not working?

The M&E section of the project document (prodoc) should describe performance management, results monitoring, and evaluation plans. This section should clearly explain how the project will track implementation progress and results. Describe project staffing and schedules for M&E, tools and systems used to manage and monitor progress, and whatever other strategies will be used to support the adaptive management cycle. Monitoring and evaluation plans should be in alignment with both WWF and GEF requirements.

This section should also summarize how the monitoring and evaluation reports and deliverables will be shared and may include references to the knowledge management strategy outlined in section 2. For example, the operational focal points (OFPs) should be informed on any planning/reflection workshops and be provided with reports from the Midterm and Terminal Evaluations. They should be invited to comment on final reports for these evaluations and be given the opportunity to contribute to the management response.

*Summary of requirements in M&E section of prodoc:*

* Organizational commitment to M&E statement
* Project staff dedicated to M&E
* Reference to Results Framework
* Monitoring and evaluation (M&E) system description
* Adaptive management description
* Calendar of monitoring activities and summary of reporting requirements
* Summary M&E budget (should be 5-10% of all budget)
* Project evaluation information
* Reference to knowledge management and sharing section regarding how M&E information will be shared with stakeholders (including with OFPs)

***Monitoring and Evaluation (M&E) Budget in prodoc***

Each project document should specify a budget for M&E that covers all monitoring and evaluation activities (see table below). The M&E budget will be separate from the project management cost (PMC) budget. Teams may want to prepare an indicative M&E budget in the prodoc or may have a dedicated M&E component to make sure all activities are planned and budgeted. This budget must be at least 5-10% of the total project budget. Please also be sure to cover sufficiently for the Midterm and Terminal Evaluations (midterms may not be required for medium sized projects). The budget for an evaluation may be about $30,000, but this will vary depending on the costs in-country.

The M&E budget should cover all monitoring and evaluation-related activities. See the table below for a summary of what activities are covered under the M&E budget. You’ll note that certain activities that would appear M&E-related, are better reflected elsewhere.

|  |  |
| --- | --- |
| **Type of M&E activity** | **M&E or PMC budget ?** |
| M&E staff salary | M&E |
| Inception Workshop | M&E |
| Inception Report | M&E |
| Development of platform for monitoring and sharing data | M&E |
| Measurement of baseline data and indicators | M&E |
| Measurement of project indicators (objective and progress and performance indicators, tracking tools) including travel. | M&E |
| Mid Term External Evaluation | M&E |
| Final External Evaluation | M&E |
| Reflection exercises or workshops | M&E |
| Project Final Evaluation Report | M&E |
| Publication of Lessons Learnt and other project documents | M&E |
| Knowledge management or knowledge sharing activities | M&E |
| Project progress reports, closeout reports or field reports. | PMC |
| Project Steering Committee Meetings | PMC |
| Audits | PMC |

***Sample language of Organizational Commitment to M&E Statement***

*“*Developed in conjunction with major international environmental NGOs and endorsed by the WWF Network, our Program and Project Management Standards lend consistency to planning, implementing, monitoring and reporting effective conservation projects and programs worldwide. The monitoring and evaluation (M&E) plan, known as the Results Framework, is designed to help project teams plan, execute, monitor and report progress towards expected results in a consistent and routine manner. Performance indicators have been selected and clearly defined to enable uniform data collection and analysis, in line with Focal Area objectives and in alignment with the GEF Focal Area tracking tools, when possible. The frequency and schedule of data collection is defined for the project, as well as the roles and responsibilities of project team members.

The project team will analyze the data that is collected to determine whether their strategies are working or whether they need to reevaluate their strategies or theory of change. This is referred to as adaptive management and is core to the project’s success. In support of this adaptive management approach, an annual reflection exercise will be held (for instance, during project coordination committee meetings),[[1]](#footnote-2)so that the project management unit and other relevant stakeholders can reflect on monitoring data and the validity of the project theory of change. As a result of this reflection, stakeholders may suggest opportunities for adaptive management and sharing of lessons learned. The information gathered will be shared in the project progress reports (PPR) and adaptive management will be incorporated into the future annual work plans.

Project monitoring and evaluation (M&E) is a cornerstone of WWF GEF standards and is deeply embedded within the project/programme.”

***Knowledge management and sharing section of PRODOC***

This section should elaborate on the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives (e.g. participate in trainings, conferences, stakeholder exchanges); plans for the project to assess and document results in a user-friendly form (e.g. lessons learned, web-based learning platforms, guidebooks based on experience); and any plans to share lessons learned with relevant stakeholders (e.g. participate in community of practices, south-south exchanges, trainings and conferences).

Communication may be an element of the project design to raise awareness and build capacity, but it may also include activities such as establishing a project website, media campaigns, social media, etc. The KM system and its functions should be included in monitoring and evaluation activities, where possible.

# PRODOC & IMPLEMENTATION DELIVERABLES

*For an overview and calendar of reports and deadlines, please see Appendix I.*

***Results Framework***

The Results Framework (RF) is the highest-level M&E matrix for the project and will include indicators and targets for the project objective, outcomes and when useful, components of the project. These indicators should be tracking progress at the highest level of the project (outcomes and impact), as opposed to tracking direct outputs of project activities, which is reserved for annual workplan tracking documents. Where possible, the RF should be aligned with GEF standard focal area tracking tools.

There is no minimum number of indicators required. There should only be enough indicators to show that the project is indeed progressing as expected and to provide feedback for adaptive management. As a rule of thumb, it is reasonable to have 1-3 indicators at the Project Objective level and 1-2 indicators for each outcome.

The outcomes and project objective in the RF should be SMART: there should be specific targets that are measurable, achievable, relevant and collected at specific intervals (annual, baseline, midterm and close, etc). Project teams are encouraged to have annual indicator measurements, when feasible, since the annual Development Objective rating, which is submitted to the GEF Secretariat in the PIR, is based on achievement of indicator targets in the results framework.

It is important to set realistic and achievable targets. In cases where the project has a lot of risk or the team cannot predict the expected outcome, it is better to: 1) be strategic in developing indicators and targets, 2) develop conservative targets, 3) not use specific language in the outcome/project objective language, to minimize the need for GEF-Secretariat amendments to that language, and 4) analyze assumptions and develop risk mitigation measures to maximize project success.

The baseline data collection for the results framework should be completed by CEO endorsement. If that is not possible, a plan for completing the baseline within 6 months of project start should be submitted at CEO endorsement. Target setting should use baseline information so expected results are significant, yet realistic and achievable. As much as possible, it is not recommended to have a baseline of ‘zero.’ One should always try to describe/quantify the status quo, even if it does not relate exactly or directly to what the indicator will measure during the life of the project.

The Results Framework is submitted annually to the GEF AMU and project support team as part of the project progress report with baseline, achieved targets and justifications completed in the plan. The GEF AMU then annually submits the results framework in December to the GEF secretariat as part of the Project Implementation Report (PIR). Therefore, the RF is both an accountability tool and one that serves as a basis for reflecting on project progress, which aids in adaptive management.

Summary of requirements for RF:

* The RF is submitted by the project team to the GEF Agency in the prodoc and with each annual project progress report.
* Completed baseline or plan for its completion at CEO endorsement. Any baseline information that has not been completed by CEO Endorsement should be completed within the first six months of the project implementation.
* SMART Objectives and outcomes. SMART is Specific, Measurable, Achievable, Relevant/Realistic, and Time-bound.
* Alignment with GEF Focal area results frameworks and tracking tools when possible.
* Consistency among project framework in PIF, Table B in MSP document or CEO endorsement letter. Any changes will have to be justified in CEO Endorsement request.
* Define ambiguous terms in the indicator.
* Define who is responsible for collecting, when and means of verification (or methodology)
* Describe assumptions with each indicator (may relate to risk table)
* Some annual targets will be required for Project Objective or Outcomes, as this will form the Development Objective Rating submitted annually to GEF Secretariat.

***Tracking Tools and Core Indicators***

While the projects have specific indicators to measure their success or failure, there are also GEF

indicators that are measured and reported to the GEF Secretariat to provide information on the

achievement of GEF Global Environmental Benefits in their portfolio. For this reason, it is advised to

utilize the GEF tracking tool or core indicators in the Results Framework when possible, to keep the

number of indicators to a minimum.

 GEF 6

Tracking Tool: The GEF tracking tool is a set of standard indicators for each GEF focal area (i.e.,

biodiversity, land degradation, international waters, etc.) and programs that help the GEF Secretariat to

track and report on progress towards Global Environmental Benefits at the GEF portfolio level. Tracking

Tools were required to be completed for GEF 5 and GEF 6 projects but were mostly phased out for GEF-7. Only the Biodiversity Management Effectiveness Tracking Tool and Climate Change Adaptation Tracking Tools will also be used for GEF-7.

For full-sized projects (FSPs), tracking tools must be completed three times during the project’s life: at

CEO Endorsement, at mid-term and at project close. For medium-sized projects (MSPs), tracking tools

must be completed twice during the project’s life: at CEO Approval and at project completion. See link

to access tracking tools and guidelines: <https://www.thegef.org/documents/tracking-tools-results-frameworks>

GEF 7+

GEF Core and Sub-Indicators: For projects under GEF 7, project teams should select from a standard list of core indicators. There are a total of 11 core indicators, which include sub-indicators to help with aggregation, refinement and avoid double-counting. The project should adopt the core indicators that are relevant to the project and measure them according to the definitions and guidance provided by the GEF Secretariat. At a minimum, the selected core indicators would be measured at baseline, midterm and project close. See this document for more details: <https://wwfgeftracks.com/sites/default/files/2019-04/indicators_0.pdf>

There is also a core indicator worksheet at: <https://wwfgeftracks.com/sites/default/files/2019-04/10GEF%207%20Core%20Indicators%203-15-19_4.docx>.

Summary of requirements:

* Alignment of Results Framework/M&E plan with Core indicators / Tracking tool.
* Project manager completes at CEO endorsement, Mid-term and Project Completion.

# REPORTS DURING IMPLEMENTATION

***Project Progress Report (PPR)***

This report is completed bi-annually by the project team and should be based on a reflection of the project progress according to staff experience, work plan tracking documents and results framework. The 6-month and 12-month report will be set to the closest quarterly date from the project inception (January 31, April 30, July 31, October 31). The GEF-AMU requests a draft document at least one week in advance of deadline to provide feedback for a final draft. The report requests information on outcomes and impacts achieved, implementation progress of work plans and budget, adaptive management recommendations, gender mainstreaming, sharing of lessons learned as well as project ratings on the development objective, implementation progress, and risk. The Development Objective rating is based on achievement of the results framework indicators. The Implementation Progress is based on the achievement of the activities in the work plan tracking document. The risk rating is based on the risk analysis table in the PPR.

 The PPR should be accompanied by a completed annual work plan tracking document, a completed results framework (for annual reports) and when applicable, the updated tracking tool.

*Summary of requirements:*

* *Project management team completes PPR, and AWP tracking for submission to WWF GEF Agency every 6 months. The annual PPR will be accompanied by Results Framework and report on the annual workplan and budget implementation.*

***Project Closeout Report (PCR)***

This is the final project progress report for the project and may be submitted in addition to the project progress report (though please check with the GEF Agency for latest guidance). The PCR is modeled after the PPR and the project manager should summarize the progress, impact, lessons learned for the entire duration of the project. This report differs from the PPR in that it also requests information on exit plans, sustainability, hand-off of responsibilities/equipment and asks for an assessment of GEF Agency performance.

*Summary of requirements:*

* *Project management team completes PCR at the end of the project and submits to WWF GEF Agency.*

# RESPONSIBILTIES OF WWF GEF AGENCY

***Review of reports***

*The WWF GEF Agency will review biannual project progress reports and provide questions and feedback to the PMU. In this review, the completed RF, work plan tracking document, and other supporting documents will enable the GEF Agency to highlight any areas of particular concern (whether in relation to adherence to policies or in relation to the project theory of change), as well as successful project interventions that could be leveraged or shared with others. The project management unit will have done their own reflection on the project progress, but the GEF Agency review of the PPR in addition to the annual supervision missions, may result in requested modifications to the annual work plans in order to adaptively manage the project for better results.*

*The WWF GEF Agency will also review the project closeout report, midterm and terminal evaluations and any other reports deemed useful by the PMU. In their review, the WWF GEF Agency is expected to provide comment, share as relevant, and ensure that the midterm and terminal evaluation reports are submitted to the GEF Independent Evaluation Office (IEO).*

***Project Implementation Report (PIR)***

The PIR is a report that the GEF-AMU submits to the GEF Secretariat every December to summarize the financial disbursement; major achievements and challenges; the project ratings; information on safeguards, stakeholder engagement and gender-responsive measures. The GEF-AMU uses information from the Project Progress Report, the Supervision Mission, the M&E plan and annual work plans to complete this report. It is only completed when the project has been underway for over one year.

***Annual Portfolio Monitoring Report (APMR)***

The AMR is completed by the GEF-AMU to the GEF Secretariat in June and summarizes information from the PIR on the portfolio level. There is no responsibility on the part of the project team. The reports are made available here: o <https://www.thegef.org/annual-monitoring-review> f GEF team will conduct **annual** in-country visit

* + *Meetings with Focal Points*

***Supervision Mission***

Each project under implementation may participate in a supervision mission where a representative of the WWF-US GEF AMU will speak with the project management unit and field teams both in the country office and field sites. The supervision mission is completed to assess the progress of the project, observe the project on the ground and feed into a discussion on challenges, strengths and necessary adaptive measures. There is also specific attention to finance and administration, M&E and safeguards. The GEF AMU will submit a Project Supervision Mission Report (PrISM) to the project management unit within one month of the mission. The project management unit is responsible for hosting and organizing the supervision mission and developing an action plan in response to the mission.

***Midterm and Terminal Evaluations***

Each full-sized project is expected to have an independent midterm and terminal evaluation. Medium sized projects are only required to have a terminal evaluation. The Strategies and Measures team associated with the WWF GEF Agency is responsible for contracting and selecting the consultant to lead the evaluation. The evaluation manager will work closely with the Project Management Unit and will seek help with logistics for the consultant’s visit to the project sites. The WWF GEF Agency will also request feedback on the evaluation report for the sake of perspective and accuracy.

***Appendix I: Reporting requirements and schedule***

***List of reports to be completed by project management unit***

|  |  |  |  |
| --- | --- | --- | --- |
| ***M&E/ Reporting Document*** | ***How the document will be used for the project management*** | ***Timeframe*** | ***Responsible*** |
| *Quarterly Field Report* | * *Suggested that field teams send quarterly field reports to project managers to keep them informed of project activities, challenges and progress.*
 | *Every three months* | *Field teams* |
| *Quarterly financial reports* | * *Financial monitoring of the project implementation*
 | *Every three months* | *F&A lead in Project Management Unit (PMU)* |
| *WWF GEF Project Progress Report (PPR)* | * *Rating of project Development Objective (DO) Implementation Progress (IP), and Risk.*
* *Summary of major outcomes and impacts*
* *Summary of gender responsive measures;*
* *Summary on stakeholder engagement;*
* *Yearly progress of annual work plan, including explanation on delay or changes to work plan, expenditures or management of project;*
* *Challenges and Strengths;*
* *Lessons learned;*
* *Suggestions for adaptive management;*
* *Submission of completed Results Framework with Core Indicators;*
* *Submission of annual work plan tracking documents.*
 | *Every six months* | *PMU-Project Manager with support from M&E specialist* |
| *GEF Tracking Tool* | * *Measuring progress in achieving the GEF focal area indicators associated with BD and Climate Adaptation;*
* *Assessment of the project contribution to GEBs*
 | *CEO endorsement, Mid-term and Final* | *Project Manager with GEF AMU support* |
| *Project Closeout Report* | * *Based on PPR, but summarizes information for entire duration of project;*
* *Exit plans, including for sustainability due diligence to stakeholders, hand-off of responsibilities/equipment;*
* *Assessment of GEF Agency performance.*
 | *No later than one month after close of project activities.* | *PMU-Project Manager with support from M&E specialist* |

***Other reports – GEF Agency may request feedback on***

|  |  |  |  |
| --- | --- | --- | --- |
| *WWF-GEF Agency*  *PrISM – Project Implementation Supervision Mission Report* | * *Supervising of the project implementation by WWF-GEF;*
* *Monitoring of WWF Safeguards Policies in the project regions;*
* *Monitoring of gender mainstreaming and empowerment activities.*
 | *Annually. Submitted within 1 month of Supervision Mission* | *WWF-GEF Agency representative* |
| *Mid-term Project Evaluation Report* | * *External formative evaluation of the project effectiveness and efficiency;*
* *Adjustment of the Results Framework and work plans for the second half of the project period;*
* *Informing PSC, GEF and project stakeholders on the project effectiveness and efficiency.*
 |  | *External expert or organization, managed by GEF AMU* |
| *Terminal Project Evaluation Report* | * *External summative evaluation of the overall project effectiveness and efficiency;*
* *Recommendations for GEF and its agencies on the future biodiversity conservation projects;*
* *Recommendation to the project team on achievement of the project impacts after completion of the project.*
 | *After project completion*  | *External expert or organization, managed by GEF AMU* |

***Sample Calendar of monitoring and reporting processes and deadlines***

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\*Note: Teams may consider a start-up period prior to the actual implementation of the project to recruit staff or perform other functions.

**AWP&B** – (Final) Annual Workplan and Budget

**AWT** – Annual Workplan Tracking

**DAWP&B**– Draft Annual Workplan and Budget

**PCR** – Project Closeout Report

**PPR** – Project Progress Report

**QR** – Quarterly Field Report

**RF** – Results Framework

**TT** – Tracking Tool

1. Can be separate workshop or an exercise that is part of an existing meeting. [↑](#footnote-ref-2)