

FIP MONITORING AND REPORTING TOOLKIT

FIP FOREST INVESTMENT PROGRAM 2018



ON COVER:

FIP is supporting efforts in Mozambique to maximize the benefits forests provide to communities in a sustainable manner.

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**FIP
MONITORING
AND
REPORTING
TOOLKIT**

ACKNOWLEDGEMENTS

The revised FIP Monitoring and Reporting Toolkit (2018) is the outcome of the FIP monitoring and reporting (M&R) stocktaking review that assessed the firsthand experiences of FIP pilot countries and multilateral development banks that implemented the original FIP M&R Toolkit from 2014 to 2017. The collaborative, consultative review process culminated in a final validation workshop attended by FIP countries, multilateral development banks, and donor countries. This toolkit reflects a common understanding of M&R and a common set of indicators within and across all FIP countries. The CIF Administrative Unit expresses its sincerest appreciation to all those who contributed to this collaborative effort.

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Mexico's 2016 results report indicated that over 51,000 ejido community members benefited from FIP-supported special programs of the National Forest Commission in 2015.

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1.

OVERVIEW

FIP MONITORING AND REPORTING SYSTEM

As the scale and volume of climate change finance grows worldwide, so do the number of climate mitigation and adaptation activities and the need for data to inform decision making and demonstrate progress toward national, regional, and international goals, such as the Sustainable Development Goals and the Paris Agreement. Countries require strong monitoring and evaluation systems to collect and report accurate, timely, and harmonized data that can be used to strengthen projects and programs, promote accountability, and gain financial support.

The Forest Investment Program (FIP), a targeted program of the Climate Investment Funds (CIF), is a pioneer in climate finance monitoring and results reporting. Established in 2009, FIP is a concessional financing mechanism designed

to support developing countries around the world in their efforts to reduce deforestation and forest degradation (REDD+) both inside and outside of the forest sector to achieve the triple win of being good for forests, good for development, and good for the climate. It has developed a monitoring and reporting (M&R) system that helps countries track their progress in reducing pressure on forests to achieve low carbon growth.

Unique in the global climate finance architecture, this system is founded on the principles of country ownership and multi-stakeholder participation, with a focus on learning as much as tracking program results. This toolkit offers practical guidance to in-country FIP stakeholders on enabling the FIP M&R system.

PRINCIPLES OF FIP M&R SYSTEM

➤ Country Ownership

The FIP M&R system is country-driven, managed by the FIP country focal point and supported by the MDBs.

➤ Participatory Approach

Local stakeholders actively contribute to the system. This approach empowers beneficiaries, builds country ownership, fosters knowledge exchange, and ensures accountability and transparency.

➤ Use of Mixed Methods

The system combines quantitative and qualitative methods to collect, analyze, and generate knowledge and lessons on implementing FIP investments.

➤ Learning-by-Doing

This is a living system designed to evolve and adapt over time. It recognizes that monitoring and reporting is an iterative, learning-driven process. The system will be reviewed and improved continuously as lessons are generated around its use.

PARTICIPATORY, PROGRAMMATIC APPROACH

Like all CIF programs, FIP fosters a programmatic approach to investment planning and implementation. Working through a transparent, country-led process that engages a range of stakeholders—including government ministries, civil society, indigenous peoples, local communities, private sector, and the multilateral development banks (MDBs) that implement FIP funding¹—FIP supports each country in developing a coherent investment plan. It links a series of actions and investments that mutually reinforce each other and contribute to REDD+ and other national development programming and partnerships.

Under national government leadership with MDB support, FIP stakeholders continue to work together to implement the investment plan. They use the FIP M&R system to track the performance of FIP investments and ensure accountability, learning, progress, and results in advancing climate-smart development. This commitment to an inclusive, programmatic approach from investment design to completion is time intensive but serves to enrich the entire process for maximized results.

KEY COMPONENTS AND ROLES

The FIP M&R system is structured to enable annual tracking and reporting on the progress of FIP investments at multiple levels—from project to country to global program. It calls on

¹ All CIF funding and technical support is implemented in recipient countries via partner MDBs: African Development Bank (AfDB), Asian Development Bank (ADB), European Bank for Reconstruction and Development (EBRD), Inter-American Development Bank (IDB) and World Bank Group, including International Finance Corporation (IFC).

participants from FIP countries, MDBs, and the CIF Administrative Unit to make it function.

The system rests on the foundation of the **FIP results framework**², which serves as a basis for monitoring and evaluating the impact, outcomes, and outputs of FIP-funded activities. It incorporates three categories of reporting themes meant to reflect the expected transformational process taking place in FIP countries, including reducing greenhouse gas emissions from deforestation and forest degradation, enhancing institutional capacity, improving land tenure, and reducing biodiversity loss, among other co-benefits (see Annex 1).

The FIP results framework is designed to guide FIP countries and MDBs in developing their own results frameworks to track progress in forest-related action. Such built-in flexibility ensures that FIP-relevant results and indicators are integrated into pre-existing monitoring and evaluation systems at the country and project/program levels. The CIF Administrative Unit and MDBs support FIP pilot countries in developing participatory, country-led M&R processes based on need and upon request.

The FIP M&R system provides for two complementary streams of annual data collection and reporting: investment plan reporting, which takes place at the national level and is led by countries in a participatory fashion, and project reporting, which involves either the country or MDBs reporting project-level data directly to the

² Full document available at <http://www.climateinvestmentfunds.org/results/fip-results>. Logic model is in Annex 1.

FIP REPORTING CATEGORIES

- **Category 1: Common themes**

 - Theme 1.1: GHG emission reductions or avoidance/enhancement of carbon stocks
 - Theme 1.2: Livelihoods co-benefits
- **Category 2: Other relevant co-benefit themes**

 - Theme 2.1: Biodiversity and other environmental services
 - Theme 2.2: Governance
 - Theme 2.3: Tenure, rights, and access
 - Theme 2.4: Capacity development
- **Category 3: Additional national-level impacts**

 - Theme 3.1: Theory of change and assumptions
 - Theme 3.2: Contribution to national REDD+ and other national development strategies and uptake of FIP approaches
 - Theme 3.3: Support received from other partners, including the private sector
 - Theme 3.4: Link of DGM* to FIP investments from government's point of view
 - Theme 3.5: Highlights and showcases

* FIP Dedicated Grant Mechanism for Indigenous Peoples and Local Communities.

FIP MONITORING & REPORTING SYSTEM

Tracking the performance of FIP investments to ensure accountability, learning, progress, and results in addressing the drivers of deforestation and forest degradation

**Annual FIP operations and results report
to the FIP Sub-Committee**
produced by the CIF Administrative Unit with
reporting from all FIP countries and MDBs

INVESTMENT PLAN REPORTING

Annual, national-level results data on 3 reporting categories collected and reported by FIP countries

Involving annual stakeholder workshop to deliberate and agree on progress

Upholds 4 principles of FIP M&R: country ownership, stakeholder engagement, use of mixed methods, and learning by doing

PROJECT REPORTING

Annual, detailed project-level results data on Categories 1 and 2 collected and reported by either FIP countries or MDBs (as determined per country)

Complements investment plan reporting to provide a more comprehensive picture of FIP performance throughout the program cycle



YOU ARE HERE

This toolkit provides guidance on both investment plan and project reporting

FIP RESULTS FRAMEWORK

- 3 categories of reporting themes
- Common themes
 - Other relevant co-benefits
 - Additional national-level impacts

CIF Administrative Unit. **This toolkit provides guidance on both the investment plan and project reporting streams.**

Investment plan reporting is fundamental to FIP and a hallmark of its programmatic, participatory approach. As the main administrator of FIP in-country activities, the FIP country focal point oversees investment plan reporting to produce an annual national-level FIP results report for submission to the CIF Administrative Unit by June 30 of each year.

This involves annual data collection and results reporting on the three reporting categories of the FIP results framework through a process that engages a range of in-country FIP stakeholder groups. They can include government institutions at national, sub-national, and local levels; civil society; indigenous peoples; academia; and the private sector. At the invitation of the FIP country focal point, they gather at an annual FIP stakeholder workshop to discuss progress made in implementing the FIP investment plan, share lessons learned, and identify feasible solutions to challenges.

Project reporting is designed to complement investment plan reporting with more granular and intermediary project-level data reported directly to the CIF Administrative Unit on an annual basis. It is conducted by the FIP country focal point or the MDBs implementing FIP funding.

Like all CIF programs, FIP financing is implemented in recipient countries by multiple partner MDBs that monitor and report on projects through their own institutional arrangements. This wealth of information can benefit FIP M&R, and many FIP

M&R ROLES AND RESPONSIBILITIES*

➤ FIP country focal point

Manages the national FIP M&R process:

- Preparing and facilitating annual stakeholder workshop
- Overseeing project-level data collection and reporting, including deciding annually if country or MDB will report
- Ensuring annual investment plan results report is delivered to the CIF Administrative Unit by June 30 of each year

➤ Lead MDB

Supports the FIP focal point in this effort

➤ In-country FIP stakeholders

Participate in annual stakeholder workshop to track FIP progress at the national level; may include government, civil society, indigenous peoples, private sector, academia, and others

➤ In-country project management units

Provide relevant project-level reporting data, participate in annual stakeholder workshop

➤ MDB HQ focal point

If MDB(s) are reporting project results, provides annually implementation status report or equivalent for each project under its implementation to the CIF Administrative Unit; supports their project implementation teams to carry out their FIP M&R responsibilities

➤ CIF Administrative Unit

Collects and aggregates national and project reporting from all FIP countries to produce the annual FIP program-level operations and results report for the FIP Sub-Committee by year end

* Exact titles and responsibilities vary as determined by each FIP country

M&R CONSIDERATIONS IN THE FIP PROGRAMING CYCLE

1 INVESTMENT PLAN DESIGN

Country establishes a results framework for its investment plan, incorporating themes from the FIP results framework and setting baselines and targets (reported upon investment plan endorsement).

2 PROJECT PREPARATION

Country, with MDB support, develops detailed results framework for each project, incorporating relevant FIP themes, setting baselines and targets, and establishing protocols for collecting the requisite data.

3 IMPLEMENTATION

Once the first project begins implementation, annual project reporting begins along with annual investment plan reporting.

4 CONCLUSION

As projects close, country or MDB assesses them against project-level targets. Investment plan reporting continues until the final project reaches its completion date. Lessons learned implementing FIP investments feed future projects and investment plans.

country focal points chose to have the MDBs fulfill annual FIP project reporting requirements.

M&R FROM DESIGN TO FINISH

The FIP M&R system facilitates a continuous, iterative cycle that spans the entire lifetime of a FIP investment plan. It necessitates that FIP national and project teams, MDBs, and other stakeholders anticipate their data, monitoring, and reporting needs from the investment plan design phase all the way through to completion of the final project implemented under it.

As FIP resources complement other REDD+ financing—such as the Forest Carbon Partnership Facility (FCPF), the Global Environment Facility (GEF) and the UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD Programme)—some FIP countries already

have comprehensive methodologies and guidance for measuring and reporting REDD+ results. In this context, a pre-existing measurement, reporting and verification (MRV) system³ or other relevant national system is used to collect data and report on FIP reporting themes. The applied methodology to generate data and information must be clearly explained in the FIP reporting instruments.

For countries with low national monitoring capacities, the lead MDB—which the country designates in its investment plan to liaise on administrative matters at the national level—can provide additional support to enhance in-country capacity to monitor and report on FIP results. This flexibility ensures the FIP M&R system remains country-led and aligned to national processes even as they evolve and strengthen with FIP and MDB involvement. ■

³ Measurement, reporting, and verification (MRV) is a system used to measure the results of REDD+ activities, report those results to the international community, and then verify the reports. It presumes UNFCCC and IPCC standards.



FIP supports climate-smart cocoa in the Western and Brong Ahafo Regions of Ghana. It combines traditional shade-grown cocoa farming with modern-day reforms on tree tenure policies to enhance productivity, reestablish beneficial tree cover, and make tree ownership more secure.

2.

PROCESS

FIP INVESTMENT PLAN AND PROJECT REPORTING

The FIP country focal point is responsible for overseeing annual investment plan-level and project-level data collection and reporting processes, ensuring results reports are submitted to the CIF Administrative Unit by no later than June 30 of each year. The reporting period for project and investment plan reporting is 12 months, from January 1 to December 31 of the previous year, and indicates progress on all applicable reporting themes of the FIP results framework.

REPORTING CATEGORIES

There are three main categories of reporting themes in the FIP. Category 1 contains two common reporting themes that every FIP country reports on over the lifetime of its FIP investment plan and every FIP project reports on from implementation start to completion. Reporting themes within Categories 2 and 3 are monitored

and reported at the investment plan and project level if they relate to the objectives of the investment plan or project. An optional Category 4 gives FIP countries a framework in which to share other types of materials that demonstrate progress not specifically requested in the three main reporting categories, such as photos, multimedia content, and knowledge products (see Section 3).

The three main reporting categories use different FIP-provided data collection instruments to gather data based on reporting level (investment plan or project), reporting agent (MDB or country), and data type (qualitative forms or quantitative tables). The use of both qualitative and quantitative methods is suitable for understanding the richness and complexity of interventions related to REDD+. Section 3 of this toolkit describes in depth these reporting themes, including samples of their corresponding data collection instrument.

FIP REPORTING CATEGORIES

| CATEGORY | REPORTING THEME | LEVEL OF REPORTING | REPORTING AGENT | DATA COLLECTION INSTRUMENT | |
|--|--|---|-----------------|--------------------------------|----------|
| Category 1: Common themes | Theme 1.1: GHG emission reductions or avoidance/enhancement of carbon stocks | Investment plan | Country | Form 1.1 | |
| | | Project | Country | Table 1.1 | |
| | | | MDB | MDB Project Form or equivalent | |
| | Theme 1.2: Livelihoods co-benefits | Investment plan | Country | Form 1.2 | |
| | | Project | Country | Table 1.2 | |
| | | | MDB | MDB Project Form or equivalent | |
| Category 2: Other relevant co-benefit themes | Theme 2.1: Biodiversity and other environmental services | Investment plan | Country | Form 2.1 | |
| | | Project | MDB | MDB Project Form or equivalent | |
| | Theme 2.2: Governance | Investment plan | Country | Form 2.2 | |
| | | Project | MDB | MDB Project Form or equivalent | |
| | Theme 2.3: Tenure, rights, and access | Investment plan | Country | Form 2.3 | |
| | | Project | MDB | MDB Project Form or equivalent | |
| | Theme 2.4: Capacity development | Investment plan | Country | Form 2.4 | |
| | | Project | MDB | MDB Project Form or equivalent | |
| | Category 3: Additional national-level impacts | Theme 3.1: Theory of change and assumptions | Investment plan | Country | Form 3.1 |
| | | Theme 3.2: Contribution to national REDD+ and other national development strategies (e.g., NDCs, national forest programs, etc.) and uptake of FIP approaches | Investment plan | Country | Form 3.2 |
| Theme 3.3: Support received from other partners including the private sector | | Investment plan | Country | Form 3.3 | |
| Theme 3.4: Link of DGM ^(a) to FIP investments from government's point of view | | Investment plan | Country | Form 3.4 | |
| Theme 3.5: Highlights and showcases (if available) | | Investment plan | Country | Form 3.5 | |

(a) FIP Dedicated Grant Mechanism for Indigenous Peoples and Local Communities

STEP BY STEP: PROJECT REPORTING

Project reporting provides more granular and intermediary data on all FIP projects under implementation for Category 1 and Category 2 themes. Covering a 12-month reporting period (from January 1 to December 31 of the previous year), project results reporting begins once a project starts implementation and continues annually until it closes. The three-step process is led by the FIP country focal point, but each year, he/she has the option to allow the MDBs to fulfill FIP project reporting requirements. Work typically occurs in the first semester of the year to coincide with and support the investment plan reporting process.

Step 1: Collect and record data

→ In the first reporting year, baselines and expected results (targets) specified in the project design documents for Category 1 and Category 2 reporting themes are reported. In subsequent years, progress data toward these targets are collected and recorded. Depending on who is reporting (country or MDBs), different data collection instruments are used.

- If the FIP country focal point leads project-level reporting, he/she engages country project managers for all FIP projects/programs under implementation to report on Category 1 themes using Tables 1.1 and 1.2. Progress reporting on Category 2 themes is not required in a country-led process. It may be beneficial in the early reporting years to organize training sessions with in-country project management units on how to report on Category 1 themes.
- If the MDBs report project-level progress, the focal points at each MDB complete a FIP MDB Project Form for each project

under their implementation. Approved by all MDB partners in 2017 to take full advantage of the wealth of information MDBs gather for their own institutional reporting processes, the form provides MDBs a framework in which to report quantitative and qualitative data on both Category 1 and Category 2 reporting themes (see Annex 2 for a sample). Alternatively, MDBs can submit their implementation status reports or other progress reports that contain equivalent information regarding progress on FIP reporting themes during the reporting period.

3 STEPS TO ANNUAL FIP PROJECT REPORTING

1 COLLECT AND RECORD DATA

For each project under implementation for reporting period January 1-December 31 of previous year



2 SHARE WITH FIP COUNTRY FOCAL POINT

All project results reporting for aggregation to support investment plan reporting



3 SUBMIT TO CIF ADMINISTRATIVE UNIT

All project results reporting by June 30

Step 2: Share with the FIP country focal point

- Whichever reporting method is used, a copy of the completed data collection instrument must be provided to the FIP country focal point. He/She collects this reporting from every project under implementation in the country and aggregates the findings as part of the evidence base that supports the investment plan reporting process.

Step 3: Submit to the CIF Administrative Unit

- In a country-led process, the FIP country focal point is responsible for collecting reporting for all projects under implementation in the country and submitting them to the CIF Administrative Unit by June 30.
- In an MDB-led process, each MDB focal point is responsible for collecting reporting for every project under that MDB's implementation and submitting them to the CIF Administrative Unit by June 30.

TAKE NOTE:

FIP works in concert with other initiatives. Progress and achievements reported are contributions and cannot be exclusively attributed to FIP interventions.

STEP BY STEP: INVESTMENT PLAN REPORTING

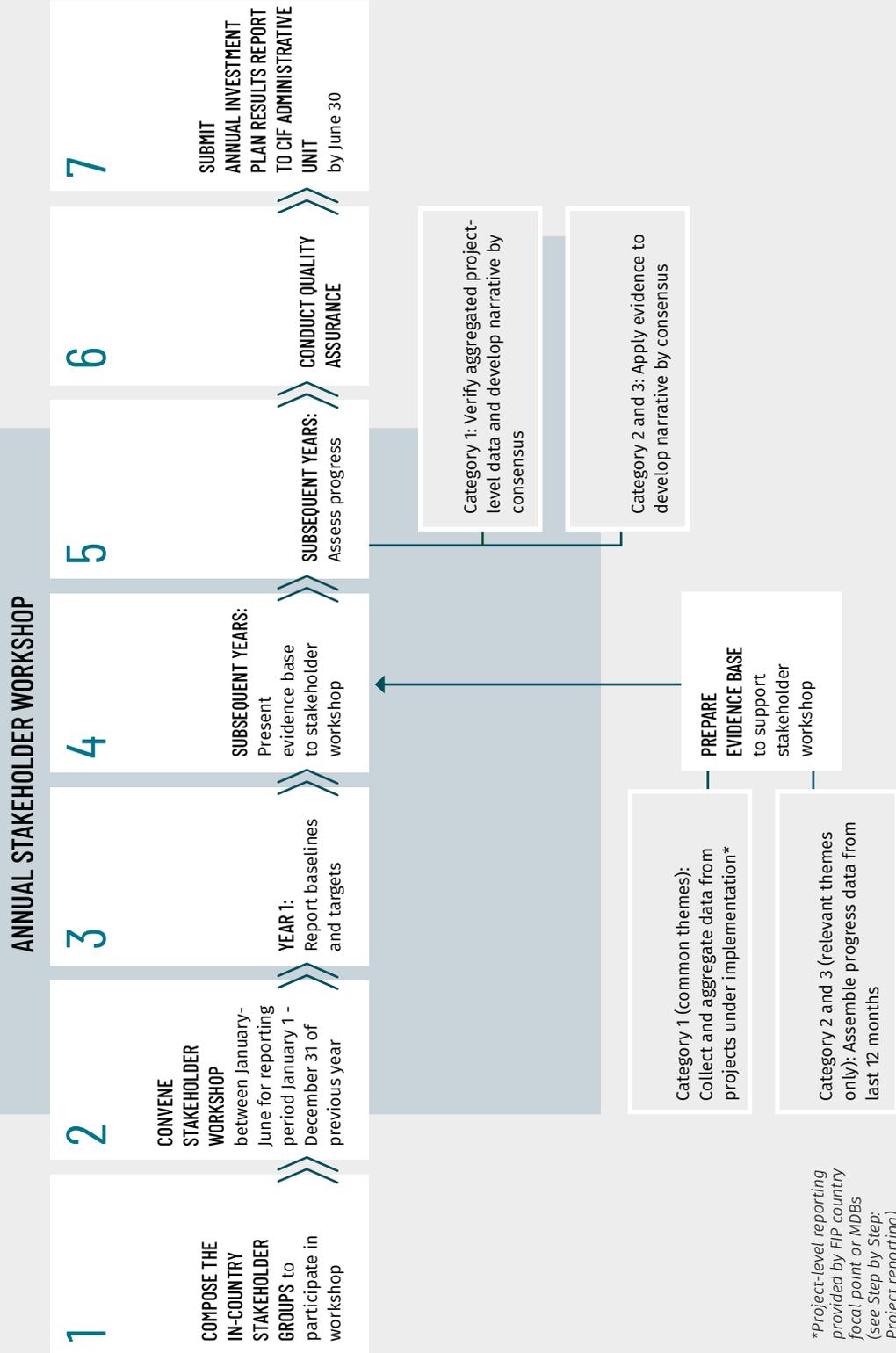
Annual investment plan reporting provides national-level quantitative and qualitative assessment of a FIP country's progress implementing its investment plan based on the three reporting categories. Covering a 12-month reporting period (from January 1 to December 31 of the previous year), investment plan reporting begins once the investment plan is endorsed by the FIP Sub-Committee and continues annually until the final project of the investment plan concludes.

The investment plan reporting process can be broken down into seven distinct steps. Every FIP country manages these steps in its own manner, calling on the CIF Administrative Unit and MDBs for support as needed to build capacity and ensure inclusivity. As much as possible, FIP country focal points align data collected to their national monitoring and evaluation systems.

The defining feature of the investment plan reporting process is the annual FIP stakeholder workshop, which brings together a broad spectrum of stakeholders once per year to assess FIP investment plan progress against the three reporting categories. In addition to validating results reporting data, the workshop adds value through a number of additional benefits, including:

- Providing a practical and viable platform to strengthen multi-sectoral cooperation and collaboration
- Building awareness and creating synergies among government and other actors on climate change
- Building capacity in REDD+ and in monitoring and evaluation, more broadly
- Promoting learning, information sharing, government decision making, and knowledge generation
- Providing a specific mechanism for accountability

7 STEPS TO ANNUAL FIP INVESTMENT PLAN REPORTING



Step 1: Compose in-country stakeholder group

- Every year, the FIP country focal point identifies at least two representatives from these FIP stakeholder groups to participate in the annual stakeholder workshop:
 - National and local government (e.g., national forestry agency, ministries)
 - Private sector
 - Civil society (e.g., non-governmental organizations (NGOS), local communities and indigenous groups, women’s organizations, and academic and research institutions)
- Individuals from each stakeholder group must be knowledgeable about FIP interventions and REDD+ programs in the country and represent diversity across geography, forest services, and partners. Countries are encouraged to strive for gender equity (equal number of men and women) as much as possible and to invite stakeholders from as many varieties of civil society groups as possible.
- Other stakeholder workshop attendees include FIP project/program management teams, representatives from relevant MDBs, and representatives of the National Executing Agency or National Steering Committee of the Dedicated Grant Mechanism for Local Communities and Indigenous Peoples (DGM), who present DGM progress to workshop participants to raise awareness and explore possible synergies between projects.

Step 2: Convene a stakeholder workshop

- The FIP country focal point then invites the stakeholders defined in Step 1 to a stakeholder workshop to assess FIP investment plan progress on the three reporting categories.

It is held during the first semester of the year (between January and June) to ensure consistency with the FIP annual reporting cycle.

- The reporting period to be discussed during the stakeholder workshop is from January 1 to December 31 of the previous year. For example, if a country holds a stakeholder workshop in May 2018, the participants discuss all FIP and national activities that took place from January 1, 2017 through December 31, 2017.

Step 3: First year workshop: Report baselines and targets

- The first year’s workshop is dedicated to reporting investment plan-level baselines and expected results (or targets) against which progress will be reported going forward.⁴ Baseline and target information is pulled directly from the investment plan where they were established as part of the investment plan’s design process. Workshop participants confirm validity or adjust accordingly, considering the following:
 - The baseline date in most cases is the endorsement date of the FIP investment plan.
 - A country’s FIP investment plan is designed to work toward continuous improvement; therefore, the expected results date is the completion date of the investment plan (i.e., the date when all FIP projects/programs are completed). The end date may change if future projects/programs are approved with additional expected results.

⁴ As a cost-saving measure, a FIP country may choose to forego the stakeholder workshop to report Year 1 investment plan baseline and targets. In this case, the FIP country focal point submits the investment plan with information on baselines and targets directly to the CIF Administrative Unit.

- A country sets baseline and targets and subsequently reports progress on just the reporting themes that relate to its FIP investment plan. Non-relevant themes are set aside and not used going forward.
- If a project is revised or a new project is added under the investment plan, baselines and targets must be reassessed and any newly introduced themes incorporated into investment plan reporting.

Step 4: Present the evidence base

- In subsequent years as projects under the investment plan begin implementation (triggering project reporting), the stakeholder workshop assesses progress⁵. Before reporting exercises begin, the FIP country focal point presents workshop participants with a body of evidence they can use to inform their reporting decisions. This evidence base consists of information and data detailing FIP investments' performance during the reporting period. The FIP country focal point gathers this information and data prior to the workshop using the appropriate methods for each reporting theme being considered.
- For Category 1 common themes, the FIP country focal point collects and aggregates quantitative data provided by every project under implementation (see Step by step: Project reporting, page 15). This aggregation indicates the amount of progress toward national-level targets.
- For Category 2 and 3 relevant co-benefit and other themes, the FIP country

focal point assembles information and achievements during the last 12 months from national monitoring systems (if available) or other materials, such as policy briefs, government status reports, census data, field surveys, or planning documents.

- Once completed, the FIP country focal point stores all evidence-base materials for future reference. See Section 3 of this toolkit for detailed descriptions of the types of evidence that best support reporting on each theme.

Step 5: Subsequent years workshops: Assess progress

- Category 1: Verify aggregated project-level data and develop investment-level narrative by consensus.
 - The FIP country focal point presents the aggregated project-level data as part of the evidence base needed to inform investment plan-level reporting. Participants discuss and provide feedback on the data, and, by consensus, they draft and agree on the supporting narrative required for Forms 1.1 and 1.2.
- Categories 2 and 3: Determine narratives by consensus.
 - Based on workshop participants' area of expertise and FIP involvement, the FIP country focal point divides workshop participants into smaller groups to assess qualitatively achievements made during the reporting period on the themes that the country has deemed relevant to its FIP investment plan. Guided by the questions in the corresponding FIP data collection instrument (Forms 2.1 to 3.5), they use evidence presented, as well as their own insight and experience with FIP interventions on the ground, to discuss and

⁵ In certain circumstances, a gap of one or more years may occur between investment plan endorsement—when Year 1 investment plan reporting on baselines and targets takes place—and first project implementation. Investment plan reporting is suspended during this time.

note progress, challenges, and areas for improvement.

- The groups then come together to present and discuss their assessments of progress by theme. Through this deliberative process, workshop participants negotiate a singular narrative text for each theme under consideration using Forms 2.1 to 3.5. The end-product is one form per theme that represents, by consensus, the responses of all those collaborating to complete it. The FIP country focal point finalizes the forms for submission to the CIF Administrative Unit.

→ Refer to other considerations.

- Every time a project begins implementation and enters into the results reporting cycle, stakeholder workshop participants must review investment-level targets and recalculate as needed to ensure the sum of project targets equals the investment plan target.
- While most themes are assessed annually, some are only reported periodically (such as Theme 3.1) or on a voluntary basis (such as Theme 3.4). All draw on assessment approaches used in major forest governance-related processes and initiatives, such as the Framework for Assessing and Monitoring Forest

CONTENT OF FIP M&R FORMS 2.1 - 3.5

| CATEGORY 2-3 FORMS | ASSESSMENT |
|--------------------|--|
| Form 2.1 | Qualitative assessment of how FIP interventions have contributed to reduced or avoided loss, or enhancement of ecosystem services (Theme 2.1) |
| Form 2.2 | Qualitative assessment of how FIP has contributed to improved legal and regulatory frameworks and their implementation, institutional arrangements and processes, conflict resolution mechanisms, etc. (Theme 2.2) |
| Form 2.3 | Qualitative assessment of how FIP has contributed to improved tenure, resources rights, and access and benefit sharing (Theme 2.3) |
| Form 2.4 | Qualitative assessment of how FIP has contributed to developing and enhancing capacity of relevant REDD+ stakeholders to address the drivers of deforestation and forest degradation (Theme 2.4) |
| Form 3.1 | Qualitative assessment of the transformational changes in addressing the drivers of deforestation and forest degradation. Reported at mid-term and end of the investment plan. (Narrative 3.1) |
| Form 3.2 | Qualitative assessment of how FIP has enhanced and/or advanced the national REDD+ process (Narrative 3.2) |
| Form 3.3 | Qualitative assessment of how partners supported the interaction of FIP and other REDD+ activities (Narrative 3.3) |
| Form 3.4 | Report on the collaboration and synergies between the FIP focal point and DGM on a voluntary basis (Narrative 3.4) |
| Form 3.5 | Update on any particularly outstanding achievement or key successes, if applicable (Narrative 3.5) |

Governance developed by the Program on Forests (PROFOR).

Step 6: Quality assurance

- Following the annual stakeholder workshop, the FIP country focal point, in collaboration with the lead MDB,, invites an oversight committee to review critically the completed investment plan results report before submitting it to the CIF Administrative Unit.
- In each FIP country, it is suggested that a multi-stakeholder, national-level steering committee oversees the country's FIP M&R system to assure quality execution of all processes. Some countries may choose to use an existing committee to play this role (e.g., REDD+ task force or equivalent structure). If no appropriate structure exists, the national government can establish one, taking into consideration gender and including representatives of relevant government agencies, indigenous peoples and local communities, local NGOs, the private sector, and other members of civil society.

TAKE NOTE:

Each time a FIP project begins implementation, investment plan-level targets must be reassessed.

Step 7: Submit results report to the CIF Administrative Unit⁶

- The FIP country focal point submits the investment plan results report to the CIF Administrative Unit no later than June 30 of each year. This includes a summary of the annual stakeholder workshop, describing participation, processes, and key issues (see Annex 3).
- The CIF Administrative Unit collects and aggregates investment plan and project reporting from all FIP countries to produce the annual FIP program-level operations and results report, which it submits to the FIP Sub-Committee for approval during its fall meeting each year. ■

⁶ The CIF Administrative Unit is working on an online reporting system, the CIF Collaboration Hub (CCH). By the time of printing this toolkit, the development of the CCH is still to be completed. Once the CCH is operational, the toolkit will be updated accordingly to provide guidance on the CCH.



FIP M&R training brings together civil society, project teams, MDBs, and key government agencies to learn the process and share experiences, such as this one in Ghana in 2016.

3.

TOOLS

REPORTING AND TECHNICAL GUIDANCE

This section contains detailed information about collecting and reporting data on FIP’s three main categories of reporting themes, plus the voluntary fourth category for other reporting types of materials, such as photos or knowledge products. This section includes the rationale and methodology supporting each theme, as well as technical definitions and specifications on data collection sources and reporting tools. Sample tables and forms are also included.

FIP REPORTING CATEGORIES

CATEGORY 1: COMMON THEMES

| | |
|-----------|---|
| Theme 1.1 | GHG emission reductions or avoidance/enhancement of carbon stocks |
| Theme 1.2 | Livelihoods co-benefits |

CATEGORY 2: OTHER RELEVANT CO-BENEFIT THEMES

| | |
|-----------|---|
| Theme 2.1 | Biodiversity and other environmental services |
| Theme 2.2 | Governance |
| Theme 2.3 | Tenure, rights, and access |
| Theme 2.4 | Capacity development |

CATEGORY 3: ADDITIONAL NATIONAL-LEVEL IMPACTS

| | |
|-----------|---|
| Theme 3.1 | Theory of change and assumptions |
| Theme 3.2 | Contribution to national REDD+ and other national development strategies and uptake of FIP approaches |
| Theme 3.3 | Support received from other partners, including the private sector |
| Theme 3.4 | Link of DGM to FIP investments from government’s point of view |
| Theme 3.5 | Highlights and showcases |

1.1

CATEGORY 1: COMMON THEMES

THEME 1.1 - GHG EMISSION REDUCTIONS OR AVOIDANCE/ENHANCEMENT OF CARBON STOCKS

RATIONALE

This reporting theme measures the climate change mitigation potential of country actions as estimated quantities of avoided or reduced GHG emissions and removals or increase in carbon stocks. Indicators also measure the land area directly covered through the implementation of the FIP investment plan.

METHODOLOGY

Investment plan reporting: From investment plan endorsement to close, the FIP country is required to report on this theme using Form 1.1 to provide narrative responses on national-level progress, supported by numerical data collected from projects. Baselines and expected results (targets) as defined in the investment plan are reported in the first year of reporting, and progress toward targets is reported at mid-term and upon completion.

Project reporting: For every project under implementation (from start to close), the FIP country or MDBs are required to report on this theme with more granular, project-level quantitative progress using Table 1.1 (for country) or the MDB Project Form or institutional equivalent, such as implementation status report (for MDB). Project reporting occurs as planned in the project results monitoring framework or at Year 1, mid-term, and project conclusion.

For each project, the FIP country or MDB measures or estimates the following indicators depending on the type of interventions supported.

- Metric tons (millions) of CO₂e reduced or avoided from reduced or avoided deforestation and forest degradation
- Metric tons (millions) of CO₂e sequestered through natural regeneration, re- and afforestation activities
- Area covered (in hectares) under sustainable land management or sustainable forest management





METHODOLOGY (continued)

Data on metric tons of CO₂e reduced or avoided from reduced or avoided deforestation and forest degradation or metric tons of CO₂e sequestered through natural regeneration, re- and afforestation activities may be reported at mid-term and end of project, or according to the frequency when data is available from satellite imagery or national forest inventories.

In the first year of a project's reporting, the FIP country or MDB reports only on the baseline and expected results (targets) as defined in the project design document.

As appropriate and available, **the reference emission level**, defined as the amount of GHG that would have been emitted if there was no FIP intervention, is reported as the baseline. Alternatively, the FIP country or MDB may report the **simple historical average of annual emissions** as the baseline if it is not possible to estimate the business-as-usual reference level.

The expected emission reductions/avoidance or removals is a target estimate of the total volume of emissions reduction/avoidance/removals expected through the implementation of the FIP investment plan.

Project reporting also requires a brief description of the FIP intervention (context, objective, and area size) as well as the methodology used to measure, estimate, or project the different values. For non-carbon emissions, measurements are converted to carbon dioxide equivalents prior to reporting.

As much as possible, lessons learned during the implementation of the intervention are also captured.





TECHNICAL DEFINITION

GHG emission reduction/avoidance/removals refer to **greenhouse gas emissions, mainly CO₂e**, that are avoided or reduced from being released or emitted to the atmosphere as a direct result of project or program activities. Examples include improving sustainability of existing agricultural systems instead of expanding agricultural areas into forested areas, using more efficient cook stoves, and processing charcoal to reduce fuel wood culling.

Enhancement of carbon stocks refers to activities that result in more CO₂ being removed from the atmosphere in above- and below-ground biomass, including soil organic matter. Examples include improved forest management practices, forest restoration and afforestation activities, establishment of plantations in previously degraded areas, enrichment planting, and agro-forestry activities.

Area covered refers to the extension of land (in hectares) under improved or sustainable land management. Countries report on the area covered to the extent this information is included in the FIP project results frameworks.

DATA SOURCE

In FIP pilot countries where a credible and accurate MRV system exists, it is used as the main source of data on GHG emissions and removals.

In FIP pilot countries where a robust forest monitoring system is in place that consistently provides transparent data and information and is suitable for measuring or estimating and reporting emissions and removals, these data and information are used. It is presumed that such systems meet minimum acceptable international standards for monitoring and reporting on GHG emissions.

For those countries with limited national monitoring capacities, it is suggested to follow the relevant MDB's methodology, provided it adheres to minimum accepted international standards.

The FIP country focal point stores all documentation containing relevant information supporting reported results (i.e., the evidence base) for future reference. This can include maps and methods that are sufficiently detailed to enable the reconstruction of the reference emission level and the reported emissions reductions and removals.



REPORTING TOOLS

1.1

The blank template for MDB Project Form (for project reporting by MDB) is available in Annex 2.

The blank template for Table 1.1 (for project reporting by country) follows herein.

The blank template for Form 1.1 (for investment plan reporting) also follows.

These reporting tools are available to all countries and MDBs and are maintained year-to-year to track the progress of the FIP investment plan.

1.1

FIP TABLE 1.1

THEME 1.1: GHG EMISSION REDUCTIONS OR AVOIDANCE/ENHANCEMENT OF CARBON STOCKS

| | | | |
|---|--|------------------------------------|--|
| <COUNTRY> | | | |
| LEAD MDB: | | | |
| OTHER IMPLEMENTING MDBS: | | | |
| ENDORSED FIP FUNDING (MILLION USD): | | | |
| CO-FINANCING (MILLION USD): | | | |
| REPORTING PERIOD: | | From: | |
| | UNIT | REFERENCE EMISSIONS LEVEL/BASELINE | |
| | | (IF APPLICABLE) | |
| GHG EMISSION REDUCTIONS/AVOIDANCE/ ENHANCEMENT OF CARBON STOCK (TOTAL) ⁹ | Million tons of CO ₂ equivalent | | |
| GHG EMISSIONS FROM REDUCED/AVOIDED DEFORESTATION AND FOREST DEGRADATION | Million tons of CO ₂ equivalent | | |
| GHG SEQUESTERED THROUGH NATURAL REGENERATION, RE- AND AFFORESTATION, AND OTHER RELATED ACTIVITIES | Million tons of CO ₂ equivalent | | |
| TYPE OF FOREST(S): | | | |
| AREA COVERED: (hectares, ha) | | | |
| INVESTMENT PLAN LIFETIME: years | | | |

- 7 **Target 1:** Target achieved during the implementation of the investment plan (ending with the financial closure of the last project supported under the investment plan)
- 8 **Target 2:** Projection of the target taking into account the lifetime of the results achieved through the implementation of the investment plan.
- 9 Where possible, countries are encouraged to disaggregate total GHG savings into GHG emissions from reduced deforestation and forest degradation and GHG emissions sequestered (enhancement of carbon stocks, reforestation, afforestation, etc.).

LEVEL: PROJECT

To:

| TARGET 1 ⁷ (EXPECTED RESULTS AFTER THE FINANCIAL CLOSURE OF THE LAST PROJECT/PROGRAM UNDER THE INVESTMENT PLAN) | TARGET 2 ⁸ (LIFETIME PROJECTION OF EXPECTED RESULTS OF PROJECTS/ PROGRAMS UNDER THE INVESTMENT PLAN) | REPORTING YEAR ACTUAL |
|--|---|-----------------------|
| | | |
| | | |
| | | |

Please specify methodology/ies used for GHG accounting (e.g., by project/program), including the start year and period for the Reference Emissions Level.

Please provide a brief description of the interventions (context and objective).

What have been key contributions (successes) of FIP regarding GHG emission reductions/avoidance/enhancement of carbon stock in your country context during this reporting year?

What have been your key challenges and what opportunities for improvement do you see?

1.1

FIP FORM 1.1

THEME 1.1: GHG EMISSION REDUCTIONS OR AVOIDANCE/ENHANCEMENT OF CARBON STOCKS

LEVEL: INVESTMENT PLAN

Please answer the following question with a narrative description of the results achieved by the FIP investment plan in your country in the reporting year. If data is available, you may also compare progress made in the reporting year to the previous one (i.e., number of hectares reforested). GHG emission reductions or carbon stocks enhancements are reported at start, mid-term, and end of investment plan implementation.

1. Which actions were taken by your country to bring areas under sustainable practices (sustainable forest management or sustainable land management practices) or to reduce GHG emissions/enhance carbon stocks? Please describe tree species planted, benefitting populations, ecosystems, and other relevant information.

CATEGORY 1: COMMON THEMES

THEME 1.2 - LIVELIHOODS CO-BENEFITS

RATIONALE

This theme captures the extent to which FIP contributes to improving the economic and social well-being of the intended beneficiaries of FIP investments.

Under this theme, the number of people benefiting from FIP out of the total number of people targeted through FIP investments is assessed (as best as possible). If “number of households” is the metric, information on the average number of people per household must be indicated and sourced.

METHODOLOGY

Investment plan reporting: From investment plan endorsement to close, the FIP country is required to report annually on this theme using Form 1.2 to provide narrative responses, supported by numerical data collected from projects. Baselines and expected results (targets) as defined in the investment plan are reported in the first year of reporting, and progress toward targets is reported in subsequent years.

Project-level reporting: For every project under implementation (from start to close), the FIP country or MDBs are required to report annually on this theme with more granular, project-level quantitative progress using Table 1.2 (for country) or the MDB Project Form or institutional equivalent (for MDB).

In the first year of a project’s reporting, the FIP country or MDB reports on the baseline and targets as defined in the project design document. In subsequent years, the FIP country or MDB describes key monetary and non-monetary benefits received by beneficiaries through FIP interventions. If possible, this information should be disaggregated by gender, by socio-economic vulnerability and/or other country-relevant criteria.

The beneficiaries reported correspond to the definitions included in the project-level results frameworks. Livelihood co-benefits reported should also be disaggregated as direct or indirect beneficiaries, if possible.

If a benefit is not related to FIP, it is not reported. For example, this may include people benefitting from the simple fact they live within the administrative area of an institution receiving capacity building support or an area under a FIP-backed forest management plan.





TECHNICAL DEFINITION

Livelihood co-benefits refer to any monetary or non-monetary benefits received by beneficiaries as a result of activities associated with FIP-supported projects and programs. These benefits may relate to improvements in income, employment, entrepreneurship, access to finance, education/training, health, and any other relevant benefits flowing from FIP investments.

Direct beneficiaries are people receiving monetary or non-monetary benefits as a direct result of activities associated with FIP-supported projects. Examples include the following:

- People (number of men, women) receiving cash transfers or grants
- People (number of men, women) attending educational and training opportunities for improved forest resources, forest landscape management, and agroforestry
- People (number of men, women) with access to finance and markets
- People (number of men, women) with new employment opportunities, such as with non-timber forest livelihoods

Indirect beneficiaries are people receiving benefits through relevant FIP projects/ programs, but have not been specifically targeted to do so, or are those who have otherwise benefitted from the contribution of FIP activities not related to primary outcomes of interest. Examples include the following:

- People (number of men, women) in forest or forest-adjacent rural communities with increased income over time
- Children (number of boys, girls) enrolled in primary and secondary education among local and forest communities





DATA SOURCES

Data for Theme 1.2 is derived by aggregating data or information from the latest household survey available or from the MDB project/program information system.

The FIP country focal point gathers all relevant documentation that informs the self-assessment (i.e., the evidence base), presents it to the stakeholder workshop, and stores it for future reference.

REPORTING TOOLS

The blank template for MDB Project Form (for project reporting by MDB) is available in Annex 2.

The blank template for Table 1.2 (for project reporting by country) follows herein.

The blank template for Form 1.2 (for investment plan reporting) also follows.

These reporting tools are available to all countries and MDBs and are maintained year-to-year to track the progress of the FIP investment plan.

1.2

FIP TABLE 1.2

THEME 1.2: LIVELIHOODS CO-BENEFITS

<COUNTRY>

IMPLEMENTING MDB:

EXECUTING AGENCY:

AMOUNT OF FIP FUNDING (MILLION USD):

CO-FINANCING (MILLION USD):

DATE OF MDB APPROVAL (MM/DD/YY):

| | | BASELINE | TARGET AT THE TIME OF MDB APPROVAL |
|--|-------|----------|---------------------------------------|
| <p>Please use livelihood co-benefits indicators identified in your project/ program. Use only the number of beneficiaries or households as your metric. If households are used, please indicate the average number of people per household and the source for that information. Please also disaggregate for each indicator the number of beneficiaries by gender.</p> | | | |
| 1. INCOME INDICATOR: | TOTAL | | |
| | MEN | | |
| | WOMEN | | |
| 2. EMPLOYMENT INDICATOR: | TOTAL | | |
| | MEN | | |
| | WOMEN | | |
| 3. ENTREPRENEURSHIP INDICATOR: | TOTAL | | |
| | MEN | | |
| | WOMEN | | |
| 4. ACCESS TO FINANCE INDICATOR: | TOTAL | | |
| | MEN | | |
| | WOMEN | | |
| 5. EDUCATION INDICATOR: | TOTAL | | |
| | MEN | | |
| | WOMEN | | |
| 6. HEALTH INDICATOR: | TOTAL | | |
| | MEN | | |
| | WOMEN | | |
| 7. OTHER RELEVANT BENEFITS INDICATOR: | | | |

What have been key contributions (successes) of FIP regarding livelihoods co-benefits in your country context during this reporting year?

1.2

FIP FORM 1.2

THEME 1.2: LIVELIHOODS CO-BENEFITS

LEVEL: INVESTMENT PLAN

Please answer the following questions with a narrative description of the results achieved by the FIP investment plan in your country in the reporting year. Explain the progress made in the reporting year, compared to the previous one. Please provide one narrative for each relevant aspect, such as income, employment, entrepreneurship, access to finance, education, health, or others.

1. Number of beneficiaries:

2. Which actions were taken to provide livelihood co-benefits (monetary or non-monetary benefits) that beneficiaries received?

3. Who was involved? Were any partnerships established?

4. Why did it make a difference?

5. Will benefits last after the project is completed? Please explain.

6. How do these benefits impact vulnerable groups?

CATEGORY 2: RELEVANT CO-BENEFIT THEMES

THEME 2.1 - BIODIVERSITY AND OTHER ENVIRONMENTAL SERVICES

RATIONALE

This theme is important to demonstrate that FIP investments enhance or, at least, avoid loss of biodiversity and other ecosystem services, such as water purification and nutrient cycling.

Questions mapped to this theme assess (as best as possible) whether FIP contributes to conserving and/or enhancing biodiversity and conserving and/or enhancing other environmental services associated with forests and/or wider forest landscapes.

METHODOLOGY

From investment plan endorsement to close, the FIP country reports annually on this theme if it is relevant to interventions in its investment plan.

Assessment of Theme 2.1 occurs at the investment plan level by way of Form 2.1. It requires narrative responses on baselines and targets as defined in the investment plan (in the first year of reporting) and on progress (in subsequent years). The annual stakeholder workshop completes Form 2.1 using evidence amassed by the FIP country focal point and through collaborative discussion.

The FIP country is not required to report on Theme 2.1 at the project level; however, MDBs are if they are performing annual project reporting and the theme is relevant to a project under implementation. The MDB Project Form, or institutional equivalent, is used to capture narrative responses on baselines and targets (in the first year of reporting) and on progress (in subsequent years).

TECHNICAL DEFINITION

Biodiversity refers to both the richness of local species typical for a habitat, ecosystem, or biome in all areas covered by the FIP investment plan.

Other environmental services refer to any ecosystem function that is demonstrably beneficial to humankind. Examples include the roles of forests in regulating air and water quality, stabilizing the local climate, protecting soil, and enhancing resilience to climate stress.



2.1



DATA SOURCES

Data is sourced from national repositories, including meeting documents, workshop and budget reports, policy papers, and other relevant reports available from the civil society and FIP stakeholder community.

The FIP country focal point gathers all relevant documentation that informs the self-assessment (i.e., the evidence base), presents it to the stakeholder workshop, and stores it for future reference.

REPORTING TOOLS

The blank template for Form 2.1 follows herein.

The blank template for MDB Project Form (for project reporting by MDB) is available in Annex 2.

These reporting tools are available to all countries and are maintained year-to-year to track the progress of the FIP investment plan.

FIP FORM 2.1

THEME 2.1: BIODIVERSITY AND OTHER ENVIRONMENTAL SERVICES

2.1

LEVEL: INVESTMENT PLAN

Please answer the following questions with a narrative description of the results achieved by the FIP investment plan in your country in the reporting year. Explain the progress made in the reporting year, compared to the previous one.

1. Which activities have been conducted in the reporting period to reduce the loss of habitats and other environmental services?

2. What have been key contributions (successes) of FIP interventions regarding the reduction of habitat loss and other environmental services in your country context during this reporting year?

3. What have been your key challenges and what are opportunities for improvement?

4. Other criteria:

2.1

CATEGORY 2: OTHER RELEVANT CO-BENEFIT THEMES

THEME 2.2 - GOVERNANCE

RATIONALE

The quality of governance often determines whether forest resources are used efficiently, sustainably, and equitably, and whether countries achieve forest-related development goals. Poor forest governance has ripple effects and often reflects overall weakness in governance within a country. Forest governance is important for regulating timber and non-timber use and providing an enabling environment for sustainable forest management and conservation.

Questions mapped to this theme capture the extent to which FIP contributes to improved forest governance.

METHODOLOGY

From investment plan endorsement to close, the FIP country reports annually on this theme if it is relevant to interventions in its investment plan.

Assessment of Theme 2.2 occurs at the investment plan level by way of Form 2.2. It requires narrative responses on baselines and targets as defined in the investment plan (in the first year of reporting) and on progress (in subsequent years). The annual stakeholder workshop completes Form 2.2 using evidence amassed by the FIP country focal point and through collaborative discussion.

The FIP country is not required to report on Theme 2.2 at the project level; however, MDBs are if they are performing annual project reporting and the theme is relevant to a project under implementation. The MDB Project Form, or institutional equivalent, is used to capture narrative responses on baselines and targets as defined in the investment plan (in the first year of reporting) and on progress (in subsequent years).





TECHNICAL DEFINITION

Governance refers to the processes, including legal provisions and enforcement, by which officials, institutions, and forest users (both women and men) acquire and exercise authority in the management and conservation of forest resources.

Improved forest governance is characterized by the development, enhancement, or enforcement of and compliance with policies, laws, and other regulatory mechanisms and incentive programs that encourage sustainable forest management and conservation. This includes institutional capacity and cross-sectoral mechanisms related to national or sub-national land use planning and management that influence the existing or potential impacts of non-forest sector activities (such as agriculture, mining, or transport) on forests.

Underpinning all aspects of improved forest governance are the principles of transparency, effectiveness, efficiency, fairness/equity, participation, and accountability.

DATA SOURCES

Data is sourced from national policies, laws and other regulatory mechanisms, legal repositories, policy papers, and other relevant reports available.

The FIP country focal point gathers all relevant documentation that informs the self-assessment (i.e., the evidence base), presents it to the stakeholder workshop, and stores it for future reference.

REPORTING TOOLS

The blank template for Form 2.2 follows.

The blank template for MDB Project Form (for project reporting by MDB) is available in Annex 2.

These reporting tools are available to all countries and are maintained year-to-year to track the progress of the FIP investment plan.

2.2

FIP FORM 2.2

THEME 2.2: GOVERNANCE

LEVEL: INVESTMENT PLAN

Please answer the following questions with a narrative description of the results achieved by the FIP investment plan in your country in the reporting year. Explain the progress made in the reporting year, compared to the previous one.

1. How has FIP contributed to ensuring that stakeholder processes allow the participation of marginalized or vulnerable groups, such as women, local communities, and indigenous groups, in forest-related decision-making processes?

2. How has FIP contributed to the quality, timeliness, comprehensiveness, and accessibility of forest-related information available to stakeholders, including public notice and dialogue on pending actions?

3. What have been key contributions (successes) of FIP regarding forest governance in your country context during this reporting year?

4. What have been your key challenges and what are opportunities for improvement?

5. Other criteria:

CATEGORY 2: RELEVANT CO-BENEFIT THEMES

THEME 2.3 - TENURE, RIGHTS, AND ACCESS

RATIONALE

A clearly defined system of property and resources rights, as well as access to and sharing of benefits, is important for incentivizing and empowering forest-dependent people to use forest resources sustainably. Land tenure rules define rights on land use, control, and transfer and how resources are allocated within societies.

Questions mapped to this theme capture the extent to which FIP contributes to improving the tenure security, resources rights and access, and benefit-sharing of relevant stakeholders, particularly women, indigenous peoples, and local communities, as it relates to forest resources (e.g., timber, non-timber, wildlife, carbon, and land).

METHODOLOGY

From investment plan endorsement to close, the FIP country reports annually on this theme if it is relevant to interventions in its investment plan.

Assessment of Theme 2.3 occurs at the investment plan level by way of Form 2.3. It requires narrative responses on baselines and targets as defined in the investment plan (in the first year of reporting) and on progress (in subsequent years). The annual stakeholder workshop completes Form 2.3 using evidence amassed by the FIP country focal point and through collaborative discussion.

The FIP country is not required to report on Theme 2.3 at the project level; however, MDBs are if they are performing annual project reporting and the theme is relevant to a project under implementation. The MDB Project Form, or institutional equivalent, is used to capture narrative responses on baselines and targets (in the first year of reporting) and on progress (in subsequent years).

TECHNICAL DEFINITION

Land tenure security, resources rights and access, and benefit sharing are taken collectively as a benefit arising from legal or regulatory frameworks that enable individuals and communities, particularly indigenous peoples within the range of their traditional lands and women, to own, control, use, and peacefully enjoy their lands (cultural rights), territories, and other forest resources and to be secure in their means of livelihoods and the exercise of such rights over time.



2.3



DATA SOURCES

Data is sourced from land tenure policies, national repositories, forest maps and cadasters, national forest monitoring systems, stakeholder meetings, consultations, and other relevant information available.

The FIP country focal point gathers all relevant documentation that informs the self-assessment (i.e., the evidence base), presents it to the stakeholder workshop, and stores it for future reference

REPORTING TOOLS

The blank template for Form 2.3 follows herein.

The blank template for MDB Project Form (for project reporting by MDB) is available in Annex 2.

These reporting tools are available to all countries and are maintained year-to-year to track the progress of the FIP investment plan.

FIP FORM 2.3

THEME 2.3: TENURE, RIGHTS, AND ACCESS

2.3

LEVEL: INVESTMENT PLAN

Please answer the following questions with a narrative description of the results achieved by FIP investment plan in your country in the reporting year. Explain the progress made in the reporting year, compared to the previous one.

1. Which actions have been taken to improve the legal frameworks to protect forest-related property rights and access for all forest stakeholders, including women, local communities, and indigenous peoples?

2. What have been key contributions (successes) of FIP regarding forest tenure, rights, and access in your country context during this reporting year?

3. What have been your key challenges and what opportunities for improvement do you see?

4. Other criteria:

2.4

CATEGORY 2: OTHER RELEVANT CO-BENEFIT THEMES

THEME 2.4 - CAPACITY DEVELOPMENT

RATIONALE

Institutional and individual capacity at the national, regional, and local levels are needed to ensure that forests are conserved or managed sustainably, and the main direct and indirect drivers of deforestation and forest degradation are addressed. Increased capacity to plan and implement solutions comprises evidence that decision makers have better access to scientific, economic, and social data, as well as good practices, for addressing the drivers of deforestation and degradation.

Questions mapped to this theme capture the extent to which FIP supports the development of the capacity of relevant REDD+ institutions and stakeholders to address the drivers of deforestation and forest degradation.

METHODOLOGY

From investment plan endorsement to close, the FIP country reports annually on this theme if it is relevant to interventions in its investment plan.

Assessment of Theme 2.4 occurs at the investment plan level by way of Form 2.4. It requires narrative responses on baselines and targets as defined in the investment plan (in the first year of reporting) and progress (in subsequent years). The annual stakeholder workshop completes Form 2.4 using evidence amassed by the FIP country focal point and through collaborative discussion.

The FIP country is not required to report on Theme 2.4 at the project level; however, MDBs are if they are performing annual project reporting and the theme is relevant to a project under implementation. The MDB Project Form, or institutional equivalent, is used to capture narrative responses on baselines and targets (in the first year of reporting) and on progress (in subsequent years).





TECHNICAL DEFINITION

Capacity development refers to any activity that aims to improve the ability or competence of stakeholders (individuals or institutions) to address the direct and indirect drivers of deforestation and forest degradation. The exact nature of capacity development activities will vary according to stakeholder-specific needs.

DATA SOURCES

Data is sourced from capacity building records, training records, meeting and workshop documents, budget reports, and other relevant information available.

The FIP country focal point gathers all relevant documentation that informs the self-assessment (i.e., the evidence base), presents it to the stakeholder workshop, and stores it for future reference.

REPORTING TOOLS

The blank template for Form 2.4 follows herein.

The blank template for MDB Project Form (for project reporting by MDB) is available in Annex 2.

These reporting tools are available to all countries and are maintained year-to-year to track the progress of the FIP investment plan.

2.4

FIP FORM 2.4

THEME 2.4: CAPACITY DEVELOPMENT

LEVEL: INVESTMENT PLAN

Please answer the following questions with a narrative description of the results achieved by the FIP investment plan in your country in the reporting year. Explain the progress made in the reporting year, compared to the previous one.

1. Which actions enhanced institutional capabilities to develop and implement forest and forest-relevant policies at the national, regional, and local Level?

2. Through which actions did FIP improve capacities of stakeholders in forest and land use planning and management?

3. What have been key contributions (successes) of FIP regarding capacity development in your country context during this reporting year?

4. What have been your key challenges and what are opportunities for improvement?

5. Other criteria:

CATEGORY 3: ADDITIONAL NATIONAL-LEVEL IMPACTS

THEME 3.1 - THEORY OF CHANGE AND ASSUMPTIONS

RATIONALE

The theory of change of the FIP investment plan refers to the logic of how FIP investments individually, cumulatively, and synergistically contribute to transformational changes in addressing the drivers of deforestation and forest degradation in the country. The FIP investment plan intends to change business-as-usual, leading to substantial GHG emission reductions/avoidance, enhanced carbon stocks, and other co-benefits.

This theme assesses the design, process, and implementation of that theory at investment plan endorsement (baseline as described in the investment plan), mid-term, and end of the investment plan to assess how well it plays out in practice, what can be learned, and whether corrective measures need to be taken.

THEME 3.2 - CONTRIBUTION TO NATIONAL REDD+ AND OTHER NATIONAL DEVELOPMENT STRATEGIES AND UPTAKE OF FIP APPROACHES

RATIONALE

This theme describes how the FIP investments individually, cumulatively, and synergistically contribute to or advance the national REDD+ process (including REDD+ readiness) and relevant development strategies in a FIP country.

THEME 3.3 - SUPPORT RECEIVED FROM OTHER PARTNERS, INCLUDING THE PRIVATE SECTOR

RATIONALE

The narrative goes beyond the hard numbers reported as co-financing for FIP investments or new REDD+ funding. It describes how partners, including the private sector, assist, facilitate, encourage, cooperate, and otherwise lend support to the activities supported by FIP.

THEME 3.4 - LINK OF DGM TO INVESTMENTS FROM GOVERNMENT'S POINT OF VIEW

RATIONALE

The FIP Dedicated Grant Mechanism for Indigenous Peoples and Local Communities (DGM) is a grant mechanism established for and by indigenous peoples and local communities, including women, in FIP countries. This finance stream is additional to resources allocated under a country's FIP investment plan. It aims to stimulate and extend participatory governance, transparency, and accountability in FIP countries by providing indigenous people and local communities with the resources they need to engage meaningfully in REDD+ activities at the local level and with the government.

This theme describes the collaboration and synergies between projects within the FIP investment plan and DGM and is voluntary.





3

THEME 3.5 - HIGHLIGHTS/SHOWCASES

RATIONALE

This voluntary theme provides an opportunity for countries to share particularly outstanding achievements of the reporting period.

METHODOLOGY FOR ALL CATEGORY 3 REPORTING THEMES

From investment plan endorsement to close, the FIP country reports only on those Category 3 themes that apply to its investment plan and only if data is available.

Assessment of Category 3 themes occurs at the investment plan level by way of Forms 3.1, 3.2, 3.3, 3.4, and 3.5. They require narrative responses on baselines and targets as defined in the investment plan (in the first year of reporting) and progress (in subsequent years). The stakeholder workshop completes these forms using evidence amassed by the FIP country focal point and through collaborative discussion.

DATA SOURCES FOR ALL CATEGORY 3 REPORTING THEMES

Data and information needed to develop Category 3 narratives are sourced from project/ program information systems, national MRV or national forest monitoring systems, stakeholder meetings, and consultations.

The FIP country focal point gathers all relevant documentation that informs the self-assessment (i.e., the evidence base), presents it to the stakeholder workshop, and stores it for future reference.

METHODOLOGY FOR ALL CATEGORY 3 REPORTING THEMES

The blank templates for Forms 3.1, 3.2, 3.3, 3.4, 3.5 follow herein.

These reporting tools are available to all countries and are maintained year-to-year to track the progress of the FIP investment plan.

FIP FORM 3.1

THEME 3.1: THEORY OF CHANGE AND ASSUMPTIONS

3

LEVEL: INVESTMENT PLAN

Please explain how the implementation of the FIP investment plan is contributing to transformational changes in addressing the drivers of deforestation and forest degradation in your country. Please report progress on the theory of change and assumptions at mid-term and end of the investment plan. If projects start at different points in time, the FIP country focal point may decide which point in time best represents the mid-term of the investment plan.

1. Please briefly describe how FIP contributed to transformational changes in addressing the drivers of deforestation and forest degradation in your country as presented in the endorsed FIP investment plan. What is the value added of FIP?

2. Please assess how well the theory of change and underlying assumptions described in the endorsed investment plan are playing out in practice, what can be learned, and whether corrective measures need to be taken.

3

FIP FORM 3.2

THEME 3.2: CONTRIBUTION TO NATIONAL REDD+ AND OTHER NATIONAL DEVELOPMENT STRATEGIES AND UPTAKE OF FIP APPROACHES

LEVEL: INVESTMENT PLAN

Please describe how FIP enhanced and/or advanced the national REDD+ process (including REDD+ readiness and performance-based mechanisms) and relevant development strategies.

FIP FORM 3.3

THEME 3.3: SUPPORT RECEIVED FROM OTHER PARTNERS INCLUDING THE PRIVATE SECTOR

3

LEVEL: INVESTMENT PLAN

1. Please describe how bi- and multilateral development partners supported the interaction of FIP and other REDD+ activities.

2. Please describe how the (formal and informal) private sector actors have taken up good practices demonstrated through FIP. Please describe challenges encountered in involving the private sector in FIP.

3. Please describe how civil society organizations and other stakeholders have been involved in FIP implementation.

3

FIP FORM 3.4

THEME 3.4: LINK OF DEDICATED GRANT MECHANISM FOR INDIGENOUS PEOPLES AND LOCAL COMMUNITIES (DGM) TO INVESTMENTS FROM GOVERNMENT'S POINT OF VIEW

LEVEL: INVESTMENT PLAN

Please provide comments on the complementarity of DGM and its contribution to the FIP investment plan. What have been the collaboration and synergies between FIP projects and DGM?

FIP FORM 3.5

THEME 3.5: HIGHLIGHTS/SHOWCASES OF PARTICULARLY OUTSTANDING ACHIEVEMENT(S) TO SHARE

3

LEVEL: INVESTMENT PLAN

1. Please provide examples of particularly outstanding achievements or key successes.

2. Please provide examples of outstanding achievements in gender mainstreaming:

- What have been the most important achievements and impacts in terms of gender mainstreaming in FIP investments?

- Please describe lessons learned or good practices regarding integration of gender into these investments.

4

CATEGORY 4: OTHER REPORTING TYPES

THEME 4.1 - ROLE OF COUNTRY PROGRAM COORDINATION AND SYNERGIES BETWEEN DIFFERENT FIP INVESTMENTS

THEME 4.2 - ONGOING STAKEHOLDER PARTICIPATION/INVOLVEMENT

THEME 4.3 - HOW THE INVESTMENT PLAN IS IMPLEMENTED IN THE CONTEXT OF BROADER NATIONAL POLICIES

THEME 4.4 - KNOWLEDGE EXCHANGE AND MANAGEMENT

THEME 4.5 - ANALYTICAL WORK OR PUBLIC COMMUNICATIONS (EVALUATIVE STUDIES, EVIDENCE-BASED LEARNING, ARTICLES, ETC.)

RATIONALE

Category 4 represents an additional opportunity for the FIP country to share lessons learned or success stories from the implementation of its FIP investment plan.

On a voluntary basis, the FIP country can develop different knowledge products on at least one of Category 4’s five reporting themes using photos, videos, events, publications, or creative media and platforms, such as blogs, videos, or webinars. Materials shared via Category 4 are in addition to investment plan and project reporting on the three main reporting categories.

METHODOLOGY

The FIP country reports on Category 4 themes as needed using Form 4.

REPORTING TOOLS

The blank template for Form 4 follows herein. This reporting tool is available to all countries and are maintained year-to-year to track the progress of the FIP investment plan.

FIP FORM 4

THEME 4: OTHER REPORTING TYPES

4

LEVEL: INVESTMENT PLAN

Please attach or provide links to photos, videos, events, publications, and/or creative media and platforms, such as blogs, videos, or webinars, illustrating responses to the following questions:

1. What are the main achievements of the country program coordination and synergies between different FIP investments?

2. What are the main achievements of the ongoing stakeholder participation/involvement?

3. How is the investment plan implemented in the context of broader national policies?

4. What are the outstanding achievements in terms of knowledge exchange and management?

5. Is there any analytical work or public communications (evaluative studies, evidence-based learning, articles, etc.) about your FIP Investment plan to share?



Peru's FIP investment plan and DGM program support forest-dependent indigenous peoples and local communities by addressing titling and registration of rural properties and communal lands.

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ANNEXES

Annex 1 FIP results framework LOGIC MODEL

This toolkit is designed to support the implementation of the “FIP Results Framework” and accompanying “Results Monitoring and Reporting in the FIP”¹⁰. It establishes a basis for monitoring and evaluation of the impact, outcomes, and outputs of FIP-funded activities. The logic model of the results framework depicts the cause and effect chain of results from inputs and activities through to project outputs, program outcomes, and national/international impacts.



¹⁰ Documents available at <http://www.climateinvestmentfunds.org/results/fip-results>

FIP LOGIC MODEL

GLOBAL
CIF final outcome (15-20 yrs)

Improved low carbon, climate resilient development



COUNTRY
Transformative impact
(10-15 yrs)

Core objective: Reduced GHG emissions from deforestation and forest degradation; enhancement of forest carbon stocks

Co-benefit objective: Reduced poverty through improved quality of life of forest-dependent indigenous peoples and forest communities

Co-benefit objective: Reduced biodiversity loss and increased resilience of forest ecosystems to climate variability and change



COUNTRY
FIP catalytic replication outcomes (5-10 yrs)

Reduced deforestation and forest degradation and enhanced conservation

Increased direct management of forest resources by local communities and indigenous peoples

Improved enabling environment for REDD+ and sustainable management of forests

Access to predictable and adequate financial resources, including results-based incentives for REDD+ and sustainable management of forests

REGION
Replication of FIP learning in non-FIP countries



PROJECT/PROGRAM
FIP outputs and outcomes (2-7 yrs)

Reduced pressure on forests and their ecosystems

CIF PROGRAM

Sustainable management of forests and forest landscapes to address drivers of deforestation and forest degradation

Institutional and legal/regulatory framework that supports sustainable management of forests and protects the rights of local communities and indigenous peoples

Empowerment of local communities and indigenous peoples and protection of their rights

New and additional sources for REDD+ implementation

Integration of learning by development actors active in REDD+

PROJECT/PROGRAM
FIP activities (1-7 yrs)

Increased capacity to address direct and underlying drivers of deforestation and forest degradation (as identified in national REDD+ strategies or equivalents)

Investments outside the forest sector

Investments in sustainable management of forests, including protection

Institutional capacity, forest governance and information

Financial leverage: Increased other public and private sources of finance/investment

Knowledge management: Learning about piloting and implementation captured and shared across projects and programs

FIP INPUTS

- New and additional resources supplementing existing ODA flows
- REDD+ or equivalent forest strategies, including identification of drivers of deforestation and forest degradation

Annex 2

MDB project reporting form

FIP MDB MONITORING AND REPORTING TEMPLATE

PROJECT NAME: EXAMPLE: SUSTAINABLE PRODUCTION IN AREAS PREVIOUSLY CONVERTED TO AGRICULTURAL USE PROJECT

COUNTRY: Brazil

LEAD MDB: IBRD

REPORTING DATE:

A. GENERAL PROGRESS

Please briefly describe the overall implementation status of the project and any progress on key activities that took place during the reporting period.

B. CRITICAL OPERATIONALS BOTTLENECKS

If applicable, please provide a brief update on current (or potential) challenges that are delaying project implementation. Please also include brief recommendations for follow-up.

Recommendations for follow-up:

C. CONTRIBUTIONS TO LESSONS LEARNED

Please briefly illustrate any important lessons learned from the project.

D. Updated Achieved Results (quantitative information on project implementation)

Please copy and paste what appears in your latest internal result reporting document; e.g. Implementation Status Reports, Progress Report or similar; and Project Results framework /Log frame including actual results or equivalent or attach the document to this template.

EXAMPLE: IMPLEMENTATION STATUS REPORT (ISR) OF THE SUSTAINABLE PRODUCTION IN AREAS PREVIOUSLY CONVERTED TO AGRICULTURAL USE PROJECT (FOR ILLUSTRATION PURPOSES)

CATEGORY 1: COMMON THEMES

THEME 1.1: GHG EMISSION REDUCTIONS OR AVOIDANCE / ENHANCEMENT OF CARBON STOCK

| | Baseline | Actual | TargetY1 | Actual T1 | TargetY2 | Actual T2 | TargetY3 | Actual T3 | TargetY4 | Actual T4 | Final target | Actual Final Target |
|--|----------|--------|----------|-----------|----------|-----------|----------|-----------|----------|-----------|--------------|---------------------|
| SUSTAINABLE PRODUCTION IN AREAS PREVIOUSLY CONVERTED TO AGRICULTURAL USE PROJECT | | | | | | | | | | | | |
| Increase in the agricultural area using the technologies recommended by the ABC Plan in relation to the total productive area of the participating producers | 0 | | 0 | | 0 | | 10 | | 15 | | | |
| Land area where sustainable land mgt. practices were adopted as a result of project Hectare (Ha) | 0 | | 0 | | 0 | | 450,000 | | 90,000 | | | |

THEME 1.2: LIVELIHOOD CO-BENEFITS

| | Baseline | Actual | TargetY1 | Actual T1 | TargetY2 | Actual T2 | TargetY3 | Actual T3 | TargetY4 | Actual T4 | Final target | Actual Final Target |
|--|----------|--------|----------|-----------|----------|-----------|----------|-----------|----------|-----------|--------------|---------------------|
| SUSTAINABLE PRODUCTION IN AREAS PREVIOUSLY CONVERTED TO AGRICULTURAL USE PROJECT | | | | | | | | | | | | |
| Increase in the number of participating producers adopting at least one selected technology compared with the control group (Percentage) | 0 | | 0 | | 0 | | 5 | | 10 | | | |
| Direct project beneficiaries | 0 | | 0 | | 6,000 | | 9,000 | | 12,000 | | | |





| | | | | | | | |
|---|---|---|-------|-------|--------|--|--|
| Clients who have adopted an improved agr. Technology promoted by the project | 0 | 0 | 1,200 | 2,400 | 3,600 | | |
| Producers and technicians trained | 0 | 0 | 6,000 | 9,000 | 12,000 | | |
| Percentage of trained producers requesting credit through the ABC line of credit (percentage) | 0 | | 15 | 15 | 15 | | |
| The percentage of training content retained by each cohort of producers and technicians six months after the training sessions (percentage) | 0 | 0 | 50 | 50 | 50 | | |

CATEGORY 2: OTHER RELEVANT CO-BENEFIT THEMES

THEME 2.1: BIODIVERSITY AND OTHER ENVIRONMENTAL SERVICES - IF APPLICABLE TO YOUR PROJECT

THEME 2.2: GOVERNANCE - IF APPLICABLE TO YOUR PROJECT

THEME 2.3: TENURE, RIGHTS AND ACCESS - IF APPLICABLE TO YOUR PROJECT

THEME 2.4: CAPACITY DEVELOPMENT- IF APPLICABLE TO YOUR PROJECT

NOTE: ALL FIP MDBS AGREED TO THIS FORM AT THE FIP M&R CONSULTATION WORKSHOP ON APRIL 3-5, 2017.

Annex 3

Stakeholder workshop summary form

SUMMARY OF THE FIP ANNUAL STAKEHOLDER WORKSHOP

1. Which stakeholder groups were invited to the annual workshop (organizations and number of people for each)? Please attach the list of participants, including the name of the organizations they represent.

2. How did you ensure stakeholder participation in the workshop? Which methodologies were used to integrate all stakeholders' views during the workshop? (For example, did you break down the stakeholders into groups to discuss a topic depending on their expertise? How did you reach a consensus for the reported data?)

3. What were the key issues raised during the workshop?

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